### **United States Coast Guard**

**Department of Homeland Security** 

# Model Maritime Operations Guide







### THE COMMANDANT OF THE UNITED STATES COAST GUARD WASHINGTON, D.C. 20593-0001

#### APR 2 | 2003

The U.S. Coast Guard is pleased to present to the international maritime community a *Model Maritime Operations Guide*. The purpose of this guide is to describe the U.S. Coast Guard's maritime operations, providing a model to the international community for possible use by countries developing or operating a maritime service.

The Model Maritime Operations Guide is based upon the organization, authority and mission expectations of the U.S. Coast Guard. The chapters of this guide are set up to address five areas of responsibility of the U.S. Coast Guard, including Maritime Safety, Maritime Security, Protection of Natural Resources, Maritime Mobility, and Homeland Security, and to describe the operational missions the U.S. Coast Guard carries out to achieve these goals.

It is not the intent of this guide to convince the reader that this is the only or best way to conduct maritime operations. Many of the world's maritime nations share the same challenges faced by the United States and have established excellent maritime services and procedures to accomplish these goals.

Our goals and missions are based on experience operating in maritime environments over the course of many years. Our operations have evolved and will change in response to public needs and priorities, lessons learned, and the introduction of new technologies. It is hoped that this guide will provide a solid starting point for countries desiring to establish a coast guard or desiring to make changes to their existing maritime services.

I wish you "fair winds and following seas" as you conduct the maritime operations so vital to your nation's well-being. Please contact the U.S. Coast Guard International Affairs Staff via the Internet link or phone number on the back cover if you desire additional information.

T. H. COLLINS

Admiral, U. S. Coast Guard



### **Table of Contents**

INTRODUCTION	VII
CHAPTER 1 MARITIME SAFETY	1-1
Section A. Search and Rescue (SAR)	1-3
A.1. International conventions.	
A.2. Search and rescue service	
A.3. Legal authority	
A.4. Federal agency involvement	
A.5. SAR documents	
A.6. Response to search and rescue situations.	
A.7. Search and rescue region	
A.8. Search and rescue sub-region.	
A.9. Facilities	
A.10. Resources	
A.11. Communications	
A.12. SAR agreements	
A.13. Amver	
A.14. References	
Section B. Commercial Vessel Safety Program	
B.1. Mission	
B.2. Vessel design standards	
B.3. Design plan review and approval	
B.4. Construction, operation, and maintenance inspections	
B.5. Coast Guard boarding and inspections	
B.6. Maritime regulations	
B.7. Alternate Compliance Program (ACP)	
B.8. References	
Section C. Vessel Documentation Program	
C.1. Mission	
C.2. Documents	
C.3. References	
Section D. Mariner Licensing Program	
D.1. Mission	
D.2. License types	
D.3. License qualification standards	
D.4. Credentials	
D.5. Licenses	
D.6. Certificates of registry	
D.7. Merchant mariner documents	
D.8. References.	
Section E. Passenger Vessel Safety Program.	
E.1. Mission	
E.2. Prevention and response	
E.3. Control Verification Examination (CVE) Program.	
E.4. Safety, construction, and equipment requirements	
E.5. References	
Section F. Commercial Fishing Vessel Safety Program	



F.1. Mission	1-31
F.2. Safety	1-31
F.3. Vessel compliance	
F.4. References	
Section G. Recreational Vessel Safety (Boating Safety) Program	1-33
G.1. Mission	
G.2. Objectives	
G.3. Improving the safety of boats and their associated equipment	
G.4. Improving the physical and operational boating environment	
G.5. Improving interagency cooperation, coordination and assistance	1-35
G.6. Improving knowledge, skills, abilities and behaviors of boaters	
G.7. Other activities	
G.8. References.	
Section H. USCG Auxiliary: Volunteer Force	
H.1. Mission	
H.2. Organizational elements.	
H.3. Vessel examination	
H.4. Vessel education	
H.5. Operations	
H.6. Fellowship.	
H.7. Membership	
H.9. References	
Section I. Port State Control	
I.1. Port State Control Program	
I.2. Substandard vessel	
I.3. Foreign vessel examinations.	
I.4. General examination	
I.5. Examination books	
I.6. References	
Section J. Investigations	
J.1. Governing policy	
J.2. Statute-driven programs	
J.3. Enforcement tactics	
J.4. Marine Investigations Program	
J.5. References	1-52
CHAPTER 2 MARITIME SECURITY	2-1
Section A. Law Enforcement	2-3
Site Inspections	2-4
A.1. Authority for inspections	
A.2. Fundamentals of enforcement	
A.3. Environmental protection specialists	
Vessel Boardings	
A.4. Reasons for boardings	
A.5. Minimizing impact	
A.6. Personnel conduct	
A.7. Boarding teams	
A.8. Pre-boarding activity.	
A.9. Boarding procedures	
Air Surveillance	
A.10. Aircraft patrols	
A.11. Flight safety guidelines	



A.12. Maximum range and endurance speeds	2-10
A.13. FAA requirements.	
A.14. Pre-flight briefs	
A.15. Mapping flight	
A.16. Air and surface patrols	
A.17. References	
Section B. International Law.	
B.1. Innocent passage	
B.2. Non-innocent passage	
B.3. Force majeure	
B.4. Hot pursuit	
B.5. Constructive presence	
B.6. Right of visit	
B.7. Jurisdiction	
B.8. Vessel nationalities	
B.9. Jurisdictional locations	
B.10. Jurisdiction types	2-21
B.11. Persons exempt from authority	2-23
Section C. Fisheries Law Enforcement	2-25
C.1. Mission.	2-25
C.2. Goals	
C.3. Protecting the U.S. Exclusive Economic Zone from foreign encroachment	
C.4. Enforcing domestic fisheries law	
C.5. OCEAN GUARDIAN	
C.6. Authority ashore	
C.7. International fisheries agreements	
C.8. References	
Section D. Marine Protected Species	
D.1. Mission	
D.2. Strategies	
D.3. References	
Section E. Drug Interdiction	
Counterdrug Operations.	
E.1. International cooperation.	
E.2. Interagency cooperation	
E.3. National counterdrug strategy	2-34
E.4. Planning	2-34
E.5. Maritime interdiction.	2-35
E.6. Detection and monitoring	
E.7. Intelligence	
E.8. Command and control	
Patrol Tactics	
E.9. Planning tactics	
E.10. Surface tactics	
E.11. Multi-unit tactics	
E.12. Departure zone	
E.13. Transit zone	
E.14. Arrival zone	
E.15. Patrol patterns	
E.16. Tactics	
Collecting Intelligence	
E.17. Description	
E.18. Information need	2-41



E.19. Intelligence need	2-41
E.20. Methods of collection.	
E.21. Covert activity	
E.22. Types of intelligence	
E.23. Intelligence products	
Operations Plans / Orders	
E.24. Organization	
E.25. Objective	
E.26. Security	
E.27. Reports	
E.28. Concept of operations.	
E.29. Assets	
E.29. Assets E.30. Communications.	
E.31. Intelligence	
E.32. Logistics and administration	
E.33. Logistical security	
Section F. Migrant Interdiction	
F.1. Humanitarian efforts	
F.2. Responding to illegal activities	
F.3. Regional cooperation	
F.4. Overall threat	
F.5. Legal immigration	
F.6. International legal framework	
F.7. Domestic legal framework	2-58
F.8. U.S. immigration policy	2-59
F.9. Intercepting vessels	2-60
F.10. Migrant interdiction operations	2-60
F.11. References	
CHAPTER 3 PROTECTION OF NATURAL RESOURCES	2.1
Section A. Pollution Prevention	
A.1. Education	
A.2. Sea Partners Campaign	
A.3. Biennial International Oil Spill Conference	
A.4. U.S. Coast Guard Marine Safety and Environmental Protection Program	
A.5. Oil Pollution Act of 1990.	3-6
A.6. References	
Section B. Marine Debris	
B.1. Waste disposal	3-9
B.2. Dumping restrictions	3-9
B.3. References	3-10
Section C. Environmental Response	3-11
C.1. Planning	
C.2. Exercises	
C.3. Response	
C.4. References	3-16
C.4. References	
Section D. Aquatic Nuisance Species Control	3-19
Section D. Aquatic Nuisance Species Control	3-19 3-19
Section D. Aquatic Nuisance Species Control	3-19 3-19 3-20
Section D. Aquatic Nuisance Species Control D.1. National Ballast Water Management (BWM) Program D.2. Program compliance D.3. References	3-19 3-19 3-20 3-20
Section D. Aquatic Nuisance Species Control  D.1. National Ballast Water Management (BWM) Program  D.2. Program compliance  D.3. References  CHAPTER 4 MARITIME MOBILITY	3-19 3-19 3-20 3-20 4-1
Section D. Aquatic Nuisance Species Control D.1. National Ballast Water Management (BWM) Program D.2. Program compliance D.3. References	3-19 3-19 3-20 3-20 4-1



A.2. Challenges	4-3
A.3. Transportation coordination	
A.4. Facilitating mobility	4-4
A.5. MTS cause	
A.6. U.S. Coast Guard role	4-5
Section B. Waterways Management	4-7
B.1. Vessel traffic services	4-7
B.2. References	4-8
Section C. Aids to Navigation	4-9
C.1. Short-range aids to navigation	
C.2. Marine information	4-10
C.3. Radio aids to navigation.	
C.4. References	4-13
CHAPTER 5 NATIONAL DEFENSE	5-1
Section A. Protecting the Homeland	5-3
A.1. Operation Noble Eagle	5-3
A.2. The new "normalcy"	5-4
A.3. Addressing threats	5-4
Section B. Guiding Principles	
B.1. Implementing a layered defense.	
B.2. Establishing a threshold level of operations.	
B.3. Strengthening port security	
B.4. Creating Maritime Domain Awareness	
B.5. Improving capabilities	
B.6. Increasing cooperation	
B.7. Preparing for military operations	5-7
APPENDIX A. LIST OF ACRONYMS	A-1
INDEX	INDEX - 1





#### Introduction

The United States Coast Guard has been serving the American public for over 2 centuries. The U.S. Coast Guard was formed in 1790, when our nation was new and in debt, as the Revenue Marine. Our job was to ensure that customs duties were paid and that goods were not smuggled in to avoid duties. With no other sources of revenue available to our new nation, our financial health and the viability of our government were dependent upon a steady stream of customs revenue.

Other organizations and more missions were added to our organization over the decades. The Lifesaving Service, the Lighthouse Service, the Steamboat Inspection Service, and others transformed the Revenue Marine as it evolved into the multi-mission, internationally known maritime and military service that we are today. As one of the United States' oldest and still evolving governmental organizations, now a component of the new U.S. Department of Homeland Security, the Coast Guard's overarching mission is to serve the American public. We do so by accomplishing all of our missions to achieve five strategic, organizational goals:

#### Maritime safety

Eliminate deaths, injuries, and property damage associated with maritime transportation, fishing, and recreational boating.

## Maritime security

Protect our maritime borders by halting the flow of illegal drugs, migrants and contraband into this country via maritime routes; preventing illegal incursions of our Exclusive Economic Zone; and suppressing violations of federal law in the maritime region.

# Protection of natural resources

Eliminate environmental damage and natural resource degradation associated with all maritime activities, including transportation, commercial fishing, and recreational boating.

# Maritime mobility

Facilitate maritime commerce and eliminate interruptions and impediments to the economical movement of goods and people, while maximizing recreational access to and enjoyment of the water.

# National Defense

Defend the nation as one of the five U.S. Armed Services. Enhance regional stability in support of the National Security Strategy, utilizing our unique and relevant maritime capabilities.





# Chapter 1 Maritime Safety

#### Introduction

The U.S. Coast Guard's job of ensuring maritime safety continues to be a challenge, a fact of life driven by today's and tomorrow's trends, including the following:

- Domestic and oceanborne trade and cruise ship demand are poised for explosive growth in the size and number of ships maneuvering through inland, coastal and deepwater waterways.
- Fishing vessels and offshore platforms venture farther offshore in search of the sea's bounty.
- A dramatic increase in personal watercraft and recreational boating fuels ever-greater congestion on the nation's waters.

#### Mission

Eliminate deaths, injuries, and property damage associated with maritime transportation, fishing, and recreational boating.

#### In this chapter

This chapter contains the following sections:

Section	Mission Areas	See Page
A	Search and Rescue (SAR)	1-3
В	Commercial Vessel Safety Program	1-15
С	Vessel Documentation Program	1-21
D	Mariner Licensing Program	1-23
Е	Passenger Vessel Safety Program	1-27
F	Commercial Fishing Vessel Safety Program	1-31
G	Recreational Vessel Safety (Boating Safety) Program	1-33
Н	USCG Auxiliary: Volunteer Force	1-39
I	Port State Control	1-43
J	Investigations	1-49





#### Section A. Search and Rescue (SAR)

#### Introduction

This section provides guidance on establishing and managing SAR services. It does not provide operational procedures or search planning techniques that are covered in other documents discussed in this section. Procedures and tactics associated with specific types of SAR facilities are published separately by the facility managers of Coast Guard aircraft, cutters and boats.

A wide range of information about the Coast Guard's Search and Rescue program is available through the Internet on the Coast Guard's national home page at www.uscg.mil by clicking on the *Search and Rescue* button under the list of *Missions*. Refer to A.14.a of this section for reference information.





# A.1. International conventions

Responsibilities to render assistance to persons, vessels or aircraft in distress are based on humanitarian considerations and established international practice. Specific obligations can be found in several international conventions, including the following:

- Annex 12 to the Convention on International Civil Aviation
- International Convention on Maritime Search and Rescue
- International Convention for the Safety of Life at Sea (SOLAS)
- Regulation V/10 of the SOLAS Convention (obligates the master of a ship to assist persons in distress at sea)
- Article 98 of the United Nations Convention on the Law of the Sea (UNCLOS)

Even if a country has not signed international conventions such as those above, it can still be obligated to provide search and rescue services, especially if it has declared a search and rescue region (SRR).

NOTE &

A nation that signed a convention can be referred to as "signatory, party, or contracting state" to that convention.

### A.2. Search and rescue service

A search and rescue service, through the use of public and private resources including cooperating aircraft, vessels and other craft and installations, performs the following functions:

- Distress monitoring
- Communication
- Coordination
- Search
- Rescue (including medical advice, initial medical assistance, or medical evacuation)

A country can provide a search and rescue service either individually or in cooperation with other countries. The six basic elements of a SAR service, as listed in the Maritime SAR Convention, are:

- legal framework
- assignment of a responsible authority
- organization of available resources
- communication facilities
- coordination and operational functions
- processes to improve the service including planning, domestic and international cooperative relationships and training





# A.3. Legal authority

The U.S. provides national SAR services as part of the global SAR system. National legislation authorizes the U.S. Coast Guard to conduct SAR. U.S. law states that the Coast Guard shall develop, establish, maintain and operate SAR facilities and may render aid to distressed persons and protect and save property on and under the high seas and waters subject to the jurisdiction of the United States. It also states that the Coast Guard may use its resources to assist other federal and state entities. This permissive legal provision is supplemented by a National Search and Rescue Plan (NSP), which is an interagency agreement signed at the ministry level by six federal departments, including the department in which the Coast Guard operates. The NSP obligates the Coast Guard and other agencies to perform or support SAR services. The Coast Guard is responsible for aeronautical and maritime SAR services mainly in oceanic SAR regions. Once the Coast Guard undertakes a particular mission, it must conduct that mission with due diligence, it must not worsen a situation by its actions, and it must meet a reasonable standard of performance.



# A.4. Federal agency involvement

A guiding principle for the U.S. SAR system is to use all available resources.

Locally, this is achieved by arrangements to augment capabilities of designated SAR units with use of non-dedicated government facilities, and use of commercial, private, and volunteer resources, including ships at sea.

On the national level, this is provided through the National Search and Rescue Committee (NSARC). NSARC is composed of the federal agencies that are responsible for or have primary support roles for maritime, aeronautical and land SAR, the same ones that sign the NSP. These six agencies are:

- Department of Transportation
- Department of Interior
- Department of Commerce
- Department of Defense
- Federal Communications Commission
- National Aeronautics and Space Administration

On the international level, this is attained by having cooperative arrangements with other nations coordinated by Rescue Coordination Centers (RCCs). RCCs coordinate SAR within their own respective SAR region and with other RCCs as appropriate. Coast Guard multi-mission command centers operate as RCCs.

### A.5. SAR documents

Under the overall provisions of the NSP, SAR doctrine, standards, policy and procedures for the U.S. Coast Guard are provided in the following primary documents:

SAR DOCUMENTS	APPLICABILITY
International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual	Worldwide
United States National Search and Rescue Supplement (NSS) to the IAMSAR Manual	Nationally
Coast Guard Addendum (CGADD) to the NSS	Coast Guard
Plans of Operation (for potential SAR scenarios)	RCCs



These documents cover the three levels of SAR responsibilities:

- SAR Coordinator (SC).
- SAR Mission Coordinator (SMC).
- On-Scene Coordinator (OSC) and SAR response facilities.

These documents complement each other with minimal overlap in their provisions.

# A.5.a. National Search and Rescue Plan

The National Search and Rescue Plan (NSP) is a federal executive level interagency document, produced by the NSARC, which describes how the United States will meet its international legal and humanitarian obligations to provide SAR services. It serves to:

- establish over-arching federal SAR policy;
- assign SAR responsibilities to various federal agencies; and
- adopt the *International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual* and the *National SAR Supplement* for use by U.S. SAR agencies.

Refer to A.14.b of this section for reference information.

# A.5.b. International Aeronautical and Maritime Search and Rescue Manual

The International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual, in three volumes, provides doctrine as follows:

- *Volumes I* discusses establishment and improvement of national and regional SAR systems and cooperation with neighboring countries.
- *Volume II* assists personnel who plan and coordinate SAR operations and exercises.
- *Volume III* is intended to be carried onboard rescue units, aircraft, and vessels to help with performance of a search, rescue, or OSC function and with aspects of SAR that pertain to their own emergencies.

Generally, those Coast Guard commands that serve as SC need all three volumes, those that may serve as SMC need *Volumes II* and *III*, and OSC and SAR units (boats and aircraft) need only *Volume III*. Refer to A.14.c of this section for reference information and purchasing these volumes.

#### NOTE &

*Volume I* of the *IAMSAR Manual* was written specifically to assist countries in establishing and maintaining a search and rescue service.



A.5.c. United States National Search and Rescue Supplement to the IAMSAR Manual The *United States National Search and Rescue Supplement (NSS) to the IAMSAR Manual* provides the interagency doctrine applicable at the federal level. This manual describes national SAR services, expands on topics covered by the *IAMSAR Manual*, and provides guidance that may be unique to the United States. Refer to A.14.d of this section for reference information.

#### A.5.d. Coast Guard Addendum to the NSS

The Coast Guard Addendum (CGADD) to the NSS provides policies, procedures, and standards applicable solely within the U.S. Coast Guard. The CGADD serves as the standard reference for the entire Coast Guard to use in planning and conducting SAR missions. Just as SAR is not the only mission conducted by RCCs, groups, air stations and boat stations, the SAR Program functions as part of the larger Coast Guard, and has developed SAR doctrine as part of both the larger national and international maritime and aeronautical SAR networks. The CGADD addresses this organizational relationship and focuses on the particulars of search planning and response. Refer to A.14.b of this section for reference information.

# A.5.e. Plans of Operation

Plans of Operation are maintained at RCCs and units that have SAR response planning or coordination responsibilities. A Plan of Operation discusses factors and issues pertinent to responding to a specific type of SAR incident or scenario that might occur within an RCC's associated SAR region. Specific key information is typically selected out of each Plan of Operation and included in a concise Quick Response Card (QRC) for convenient and rapid use during an actual mission. QRCs typically address:

- initial information to gather,
- initial actions to take,
- follow-on actions to consider, and
- records to retain.

QRCs are viewed as flexible guidelines typically provided in the format of checksheets and worksheets for search planning computations.



# A.6. Response to search and rescue situations

SAR services typically result from any notification of a potential or actual distress situation. If the situation warrants, a documentary SAR Case File is opened, whether or not a SAR facility is dispatched. If the level of effort grows to where SAR facilities are dispatched, the SAR case is then generally referred to as a SAR "mission." The response typically advances through five stages:

- Awareness
- Initial Action
- Planning
- Operations
- Conclusion

These stages are associated with the primary nature of SAR assistance provided at any particular time. A SAR incident may not include every stage, and the stages may overlap.

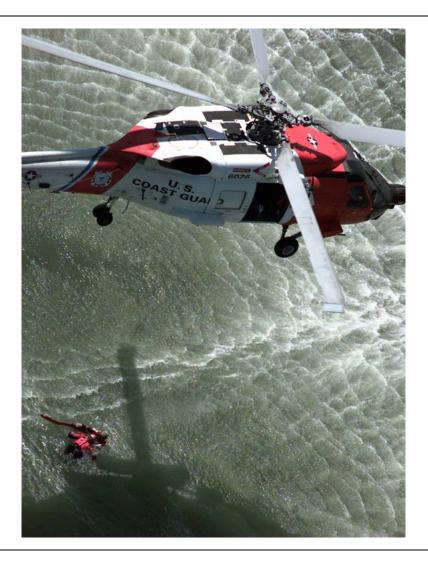
### A.7. Search and rescue region

The United States has established SAR regions in accordance with the International Convention on Maritime Search and Rescue and also Annex 12, Search and Rescue, to the Convention on International Civil Aviation. These Conventions provide for dividing the surface of the globe into SAR regions, which are described in a Global SAR Plan, and Regional Air Navigation Plans, respectively. Aeronautical and maritime SAR regions and associated SAR services should be harmonized to the extent practicable, which often requires cooperation between aeronautical and maritime national SAR authorities. Lines delineating SAR regions must also be agreed among neighboring countries. The U.S. civil aviation authority, the Federal Aviation Administration, does not provide SAR services but maintains air route traffic control services, cooperates with the U.S. Coast Guard to provide aeronautical SAR services at sea, and with the U.S. Air Force to provide such services over land.

# A.8. Search and rescue sub-region

One of our large SAR regions associated with RCC Miami includes and is adjacent to numerous countries in the Caribbean. To facilitate SAR coordination in this region, a rescue sub-center (RSC) has been established in San Juan, Puerto Rico with an associated rescue sub-region. RSC San Juan supports RCC Miami by coordinating SAR for a portion of RCC Miami's SRR. Some countries establish RSCs with sub-function rather than sub-region responsibilities.





#### A.9. Facilities

SAR facilities are any mobile resource used to conduct SAR operations, including but not limited to designated SAR units that have specialized SAR training and equipment. SAR units may have SAR as primary duty, or be made available for a SAR mission by a parent agency not having primary SAR duty. Other SAR facilities may include aircraft, ships or other vessels at sea, or any other government, private or commercial facility that may undertake or support SAR operations. Refer to *Volume II*, *Chapters 2*, 5, and 6 and *Appendix G*, of reference A.14.c of this section.

A.9.a. Aeronautical facilities Aeronautical SAR facilities, fixed-wing and rotary-wing, can quickly search large areas, intercept and escort aircraft in distress or other SAR facilities, and perform aerial delivery of supplies, equipment, and personnel.



### A.9.b. Maritime facilities

Maritime SAR facilities, typically boats and ships, are capable rescue facilities and useful for searching smaller search areas than aircraft can handle. Merchant ships may be the only available craft in some areas. On scene endurance and communications capabilities often make vessels more suitable than aircraft to perform OSC functions. Vessels may also be used to escort or tow disabled surface craft, and for surface delivery of supplies, equipment, and rescue or medical personnel to the distress scene.

#### A.10. Resources

Besides SAR facilities, other available SAR resources include RCCs, training facilities, communications stations, computer centers, meteorological services, air traffic services, satellite services or any other capability that might provide or support SAR services. *Volumes I* and *II* of reference A.14.c of this section provide more information on potential SAR resources.

### A.11. Communications

Effective SAR response relies upon effective communications among shore stations, vessels and aircraft as well as to receive the distress alert. U.S. Coast Guard ships (cutters) and aircraft normally have both maritime and aeronautical communications capabilities on international distress alerting and on-scene frequencies, in particular, VHF-FM maritime and VHF-AM aeronautical voice. Coast Guard boats communicate only on maritime frequencies. RCCs have indirect access to a full range of terrestrial and satellite capabilities needed for receiving and relaying distress alerts, coordinating SAR response, and working with other RCCs.

Ships or aircraft already in the vicinity of a distress situation provide the most immediate help available to a distress ship or aircraft. Most ships can be contacted via the Inmarsat satellite system as well as by radio. En route aircraft can be informed of emergency situations by the responsible air traffic control center. Under some circumstances, en route aircraft might be alerted by aircraft towers or approach control facilities, usually when incidents occur in the vicinity of these facilities.





# A.12. SAR agreements

SAR agreements with other organizations, or with authorities of other nations, are of practical value for the following purposes:

- Fulfilling domestic or international obligations and needs.
- Enabling more effective use of all available resources.
- Integrating national or regional SAR services into the global SAR system.
- Building commitment to support civil SAR.
- Resolving SAR procedures and sensitive matters in advance of timecritical distress situations.
- Identifying cooperative efforts that may enhance or support SAR operations, such as access to medical or fueling facilities; training and exercises; meetings; information exchanges; or use of communications capabilities.

#### A.13. Amver

Amver is a worldwide voluntary ship reporting system for SAR sponsored by the U.S. Coast Guard. Amver can quickly provide RCCs worldwide with information on the positions and characteristics of ships near a reported maritime or aviation distress incident that may be able to assist. Refer to A.14.f of this section for reference information.



## A.13.a. Amver participation

Amver participants are typically merchant ships that report their sail plans to Amver, but can also include large yachts, commercial fishing vessels or any other vessel capable of providing assistance. Vessels report via coast radio stations or satellite service providers. Information from these reports is entered into a database that computes ship positions anywhere in the world where assistance may be needed.

#### A.13.b. Access to Amver information

Amver information is made available to recognized SAR authorities of any nation, and only for use during an emergency. Recognized RCCs can request Amver information from any U.S. Coast Guard RCC. Amver information is typically produced as a "surface picture" (SURPIC) that shows the vessels located nearby where assistance may be needed. SURPIC information can be sent by fax or e-mail as needed.

#### **A.14. References** This section contains the following references:

A.14.a. SAR Program Manager	http://www.uscg.mil/hq/g-o/g-opr/sar.htm  Provides access to the homepage for the U.S. Coast Guard SAR Program Manager in Washington, DC.
A.14.b. National Search and Rescue Plan (NSP)	http://www.uscg.mil/hq/g-o/g-opr/nsarc/nsp.pdf  Provides access to an electronic copy of the U.S. NSP.
A.14.c. International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual	http://www.uscg.mil/hq/g-o/g-opr/manuals.htm#IAMSAR  The IAMSAR Manual is jointly published and copyrighted by the International Maritime Organization (IMO) and the International Civil Aviation Organization (ICAO) and is available for purchase from the publications sections of those organizations. Links to contact information for IMO and ICAO may be found at the website above.
A.14.d. United States National Search and Rescue Supplement (NSS) to the IAMSAR Manual	http://www.uscg.mil/hq/g-o/g-opr/nsarc/nsrsupp.pdf  Provides access to an electronic copy of the NSS.



A.14.e. Coast Guard Addendum (CGADD) to the	http://www.uscg.mil/hq/g-o/g-opr/manuals.htm#cgadd
NSS	Provides access to an electronic copy of the CGADD.
A.14.f. Amver	http://www.amver.com/
	Provides access to the Amver homepage.



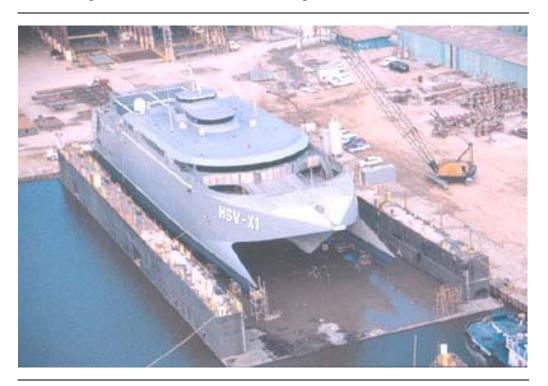
### Section B. Commercial Vessel Safety Program

#### Introduction

The Commercial Vessel Safety Program ensures that U.S. vessels intended for commercial use are designed, built, operated, and maintained to the applicable national and international safety standards. If vessels meet Coast Guard standards, they can be used to transport cargo and/or passengers.

#### **B.1.** Mission

To develop, review and enforce vessel design standards.



# B.2. Vessel design standards

The U.S. Coast Guard is charged with enforcing the applicable provisions of:

- Title 46 of the U.S. Code of Federal Regulations (CFR), which contains minimum federal standards for safe vessel design;
- Safety of Life at Sea (SOLAS) Convention; and
- International Convention for the Prevention of Pollution from Ships (MARPOL).

Refer to B.8.a of this section for reference information.



# B.2.a. Voluntary consensus standards organizations

The following voluntary consensus standards organizations develop standards for shipbuilding and operation:

- International Organization for Standardization (ISO)
- American National Standards Institute (ANSI)
- ASTM International
- International Electrotechnical Commission (IEC)

Refer to B.8.b, B.8.c, B.8.d, and B.8.e of this section for reference information.

# B.2.b. Classification societies

Members of the International Association of Classification Societies (IACS) publish standard guidance for shipbuilding, repair, and operation. They are generally consistent with the U.S. CFR. Refer to B.8.f of this section for reference information.

# B.3. Design plan review and approval

The U.S. Coast Guard Marine Safety Center (MSC) reviews vessel design plans to verify compliance with safety and pollution prevention laws and regulations. MSC also provides guidance and assistance to the marine industry to prepare drawings and information used to verify compliance with those standards.

# B.4. Construction, operation, and maintenance inspections

Throughout the life of a commercial vessel, beginning with construction, the Coast Guard requires inspections to ensure the following:

- Construction or design flaws, that could put lives, health, or the environment at risk, are not accidentally built into the vessel.
- Routine maintenance to critical systems (fire protection, life saving, steering, navigation, etc.) and to environmental protection mechanisms (oil/water separators, marine sanitation devices, overboard discharges, etc.) is performed regularly and is recorded, and all systems are in working order.
- Crews are capable of safely operating and navigating the ship and, in the event of an emergency, capable of directing traffic, protecting the vessel, and transporting its passengers to safety.

# **B.5.** Coast Guard boarding and inspections

The Coast Guard maintains an inspection staff at each field office, known as Marine Safety Office (MSO). There are 47 MSOs where Coast Guard officers, known as Captain of the Port (COTP), are in charge of Marine Safety and Environmental Protection. The COTP also has the title, Officer in Charge of Marine Inspection (OCMI). This staff performs inspections in accordance with the regulations found in Titles 46 and 33 of the CFR. Refer to B.8.a and B.8.g of this section for reference information.





# **B.6.** Maritime regulations

Maritime regulations (rules) are issued for the following purposes:

- Maritime Safety
- Maritime Security
- Protection of Natural Resources

Current maritime regulations are found in the following CFRs:

- Title 33 CFR Navigation and Navigable Waters
- Title 46 CFR *Shipping*
- Title 49 CFR *Transportation*

Refer to B.8.g, B.8.a, and B.8.h of this section for reference information.

B.6.a. New or revised regulations

Proposals to establish new, or revise existing, maritime regulations are accomplished via a rulemaking process and are announced daily in the *Federal Register*. Refer to B.8.i of this section for reference information.

B.6.b. Rulemaking documents Rulemaking documents, and the public comments they generate, can be found in the U.S. Department of Transportation's (U.S. DOT) Docket Management System (DMS). Refer to B.8.j of this section for reference information.



B.6.c. Non-rulemaking guidance

Non-rulemaking guidance is provided to the maritime industry via U.S. Coast Guard-issued Navigation and Vessel Inspection Circulars (NVICs). NVICs provide detailed guidance about the enforcement or compliance with certain federal marine safety regulations and U.S. Coast Guard marine safety programs. Refer to B.8.k of this section for reference information.



B.7. Alternate Compliance Program (ACP)

The Coast Guard's Alternate Compliance Program (ACP) is one of the most significant United States regulatory programs of the 1990s. The ACP reduces regulatory burden on the maritime industry without lowering the safety standards of vessels. It provides increased flexibility in construction and operation of U.S. flag vessels. In this voluntary program, Classification Society Rules, International Conventions, and a U.S. Supplement provide an alternative to Title 46 CFR. Compliance with this equivalent, alternative standard is administered through traditional survey and inspection conducted by authorized classification society surveyors. The Coast Guard issues a Certificate of Inspection (COI) to a vessel based upon these classification society reports. Refer to B.8.1 of this section for reference information.



#### **B.8. References** This section contains the following references:

B.8.a. Title 46 CFR	http://www.access.gpo.gov/cgi-bin/cfrassemble.cgi?title=200146
B.o.u. Time to office	intp.//www.access.gpc.gc//og/ onlineinassemere.og/.title 200110
	Provides a listing of and access to Parts to Title 46 CFR, <i>Shipping</i> .
B.8.b. ISO	http://www.iso.ch/iso/en/stdsdevelopment/tc/tclist/TechnicalCommitteeDetailPage.TechnicalCommitteeDetail?COMMID=340
	Provides access to ISO Technical Committee (TC) 8, Ships and Marine Technology.
B.8.c. ANSI	http://www.ansi.org/public/std_info.html
	Provides access to the ANSI Electronic Standards Store.
B.8.d. ASTM International	http://www.astm.org/cgi- bin/SoftCart.exe/COMMIT/COMMITTEE/F25.htm?L+mystore+ djdx7513+993145631
	Provides access to information regarding ASTM International Committee F25, Ships and Marine Technology.
B.8.e. IEC	http://www.iec.ch/index.html
	Provides access to news, standards, and technical work of IEC.
B.8.f. IACS	http://www.iacs.org.uk/index1.htm
	Provides access to information on IACS.
B.8.g. Title 33 CFR	http://www.access.gpo.gov/cgi-bin/cfrassemble.cgi?title=200233
	Provides a listing of and access to Parts to Title 33 CFR, <i>Navigation and Navigable Waters</i> .



B.8.h. Title 49 CFR	http://www.access.gpo.gov/cgi-bin/cfrassemble.cgi?title=200149
	Provides a listing of and access to Parts to Title 49 CFR, <i>Transportation</i> .
B.8.i. Federal Register	http://www.access.gpo.gov/su_docs/aces/fr-cont.html
	Provides daily announcements of changes/additions to the Federal Register.
B.8.j. Docket Management System (DMS)	http://dms.dot.gov
	Provides a DOT-published listing of proposed and final regulations, public comments, and related information.
B.8.k. Navigation and Vessel Inspection Circulars	http://www.uscg.mil/hq/g-m/nvic
(NVIC)	Describes the purpose of and provides access to NVICs.
B.8.1. Alternate Compliance Program (ACP)	http://www.uscg.mil/hq/g-m/nmc/acp.htm
	Provides access to the ACP within the U.S. Coast Guard's Marine Safety, Security, and Environmental Protection website.



### Section C. Vessel Documentation Program

#### Introduction

Vessel documentation is a form of national vessel registration, which provides conclusive evidence of nationality and conclusive evidence of entitlement to engage in a specified trade. Such entitlement has national and international implications.

#### C.1. Mission

The National Vessel Documentation Center (NVDC) facilitates maritime commerce and the availability of financing while protecting economic privileges of United States citizens through the enforcement of regulations.

**C.2. Documents** The NVDC issues the following documents:

- Certificates of Documentation
- Certificates of Ownership
- Abstracts of Title

The NVDC also records commercial instruments, provides certified copies of the office records upon request, and provides a register of vessels available in time of war or emergency to defend and protect the United States of America. Refer to C.3.a of this section for access to vessel documentation and forms online. Also, refer to C.3.b and C.3.c for government policy related to vessel documentation.

#### C.2.a. Certificates of Documentation

The NVDC issues Certificates of Documentation (Form CG-1270) endorsed for:

- fishery,
- coastwise,
- registry, and
- recreation

#### C.2.b. Certificates of Ownership

The NVDC issues Certificates of Ownership (Form CG-1330) which provide:

- name and official number of the vessel;
- name and address of last owner of record:
- Certificate of Documentation expiration date;
- outstanding encumbrances such as mortgages, preferred mortgages, notices of claim of lien; and
- information regarding pending transactions filed against the vessel.



# C.2.c. Abstracts of Title

The NVDC issues Abstracts of Title (Form CG-1332) or General Index (Form CG-1332A) that contains information concerning build, ownership, and encumbrances on a documented vessel.

#### **C.3. References** This section contains the following references:

C.3.a. NVDC	www.uscg.mil/hq/g-m/vdoc/nvdc.htm
	Provides access to vessel documentation forms and instructions, Abstracts of Title, and other NVDC information.
C.3.b. Title 46 USC 121	http://uscode.house.gov/title_46.htm
	Provides access to Title 46 United States Code (USC), Chapter 121, Shipping – Documentation of Vessels.
C.3.c. Title 46 CFR 67	http://www.access.gpo.gov/nara/cfr/waisidx_00/46cfr67_00.html
	Provides access to Title 46 CFR, Part 67, Shipping – Documentation of Vessels.



#### Section D. Mariner Licensing Program

#### Introduction

The marine environment is hazardous and can be dangerous to inexperienced mariners. Safely navigating and operating a vessel requires special skills. Merchant mariners must be trained, competent, and physically qualified to safely operate a vessel, without risk to the environment, their passengers and cargo.

#### **D.1.** Mission

Establish, administer and enforce a comprehensive mariner licensing program.

# D.2. License types

The Mariner Licensing Program issues the following two types of licenses:

- Licenses for domestic waters only.
- Licenses that are compliant with the International Convention for Standards of Training, Certification, and Watchkeeping for Seafarers (STCW).

Refer to D.8.a of this section for reference information.

# D.3. License qualification standards

The U.S. Coast Guard issues licenses to mariners who meet qualification standards for:

- age,
- citizenship,
- physical condition,
- character,
- qualifying sea service,
- assessments (competency tests), and
- specialized training.

#### **D.4.** Credentials

Mariner credentials are issued by the U.S. Coast Guard in the following forms:

- Licenses
- Certificates of Registry (CORs)
- Merchant Mariner Documents (MMDs)

Any credential may contain limitations as to vessel type, tonnage, propulsion, horsepower, or waters upon which service is authorized.



#### D.5. Licenses

Merchant mariner licenses are issued to the following personnel:

- Deck Officers
- Engineering Officers
- Radio Officers

Refer to D.8.a of this section for reference information.

### D.5.a. Deck officers

The navigation of a vessel and management of the deck department is the responsibility of the deck officers. Deck officers' licenses are issued by:

- grade (e.g., Master, Chief Mate, Second Mate, Third Mate, Mate, Operator);
- any vessel type restrictions (e.g., un-inspected fishing industry or un-inspected passenger vessels);
- means of propulsion (steam, motor, sail, or auxiliary sail);
- vessel tonnage (from not more than 5 to any gross register tons); and
- route (e.g., inland, Great Lakes, near coastal, or oceans).

### D.5.b. Engineering officers

The propulsion plant of a vessel and management of the engineering department is the responsibility of the engineering officers. Engineering officers' licenses are issued by:

- grade [e.g., Chief Engineer, First Assistant Engineer (STCW equivalent is Second Engineer Officer), Second Assistant Engineer, Third Assistant Engineer, Assistant Engineer, and Designated Duty Engineer];
- any vessel type restrictions (e.g., uninspected fishing industry vessels or uninspected passenger vessels);
- vessel's tonnage;
- means of propulsion (steam or motor), horsepower (from 1,000 to any horsepower); and
- route (e.g., near coastal or oceans).

License limitations for deck and engineer officers, including tonnage and horsepower, are based on the type of experience of each applicant and the passing of applicable written examinations. Each license has separate requirements for sea service and examination.



### D.5.c. Radio officers

Most larger seagoing vessels must participate in the Global Maritime Distress and Safety System (GMDSS). Current regulations require that deck officers holding licenses valid for ocean service are required to be qualified as GMDSS radio operators. These deck officers perform most communications duties formerly performed by the radio officer. Formerly, licenses were issued to radio officers; however, their services are no longer required on most vessels. Licenses will continue to be issued to those applicants meeting the qualification requirements even though, for practical purposes, this license has little use on most merchant vessels. Mariners who satisfy the requirements for GMDSS certification will be issued an appropriate endorsement on their STCW certificate.

# **D.6.** Certificates of registry

Certificates of Registry (CORs) are issued to officers in the staff department. Staff officers' CORs are issued by grade (e.g., Chief Purser, Purser, Medical Doctor, or Professional Nurse) and may include an additional rating (e.g., Marine Physician Assistant, Hospital Corpsman, or Pharmacist's Mate). Staff officer applicants are not required to take a written examination, but must present a letter justifying the need for a COR. Each COR grade has separate experience requirements in the area for which a COR is sought. Refer to D.8.a of this section for reference information.

# D.7. Merchant mariner documents

Merchant Mariner Documents (MMDs) are required for mariners serving on most vessels of 100 or more gross register tons in all services except on vessels navigating exclusively on rivers. They may also be endorsed with one or more qualified ratings for service as unlicensed personnel who support the operation of a vessel. Refer to D.8.a of this section for reference information.

## D.7.a. Unqualified ratings

Unqualified ratings are issued to entry-level individuals who typically have little or no sea service and rating types are as follows:

- Ordinary Seaman (Deck Department)
- Wiper (Engineering Department)
- Food Handler (Steward's Department)



# D.7.b. Qualified ratings

Qualified ratings are issued based on previous sea service in a particular department or specialized training, passing an examination, and demonstrating competency through practical assessments of their professional skills. They are issued as follows:

- Qualified ratings for members in the deck department are issued by rating type (e.g. Able Seaman or Bosun) and any vessel type restrictions (e.g. sail vessels or offshore supply vessels).
- Qualified ratings for members in the engineering department are issued by type (e.g. Qualified Member of the Engine Department) and specific rating (e.g., oiler, fireman/watertender, junior engineer, deck engine mechanic, or engineman).
- Other ratings are issued for specialized training or experience, such as Lifeboatman, Tankerman, or GMDSS At-Sea Maintainer.

#### D.8. References

This section contains the following references:

D.8.a. International Convention for Standards of Training, Certification, and Watchkeeping for Seafarers http://www.uscg.mil/STCW/l-home.htm

Provides access to the Information Center for U.S. Mariner License, Document, or Certificate of Registry Requirements.



#### Section E. Passenger Vessel Safety Program

#### Introduction

The foreign-flag cruise ship industry is growing in numbers and capacity of vessels. There are about 130 foreign-flag passenger vessels operating from U.S. ports. They carry 6.5 million passengers annually. The number of vessels is estimated to grow to 163 by 2003. These vessels can carry 1000 to 5000 persons onboard. The largest cruise ship, delivered in October 2000, is operating out of Ft. Lauderdale, FL and has a capacity in excess of 5000 persons.

This impressive growth in the passenger vessel industry, coupled with transit in areas where search and rescue (SAR) capabilities are limited, increases not only the probability of casualty to a passenger vessel, but also the consequences of a casualty due to the large number of passengers.

#### E.1. Mission

Minimize or prevent passenger or crewmember casualties on foreign flag commercial cruise ships operating from U.S. ports.



## **E.2. Prevention** and response

To address the probability and consequence of a major incident, the U.S. Coast Guard has programs related to both prevention and response.



## E.2.a. Prevention programs

Prevention programs are designed to reduce the probability of a casualty. They include material and equipment inspection of vessels, verification of crew competency, and ensuring adequate casualty controls are in place. Since the probability of a casualty can never be completely eliminated, response programs form half of the safety net.

## E.2.b. Response programs

Response programs include SAR planning involving the U.S. Coast Guard and local community and industry response teams. The U.S Coast Guard performs frequent exercises involving the various units of the SAR response team. Refer to *Section A* of this chapter for further information on the U.S. Coast Guard's SAR Program.

#### E.3. Control Verification Examination (CVE) Program

Under its authority, the U.S. Coast Guard has in place a program known as the Control Verification Examination (CVE) Program to ensure safety and environmental compliance on foreign-flag passenger cruise ships. Under this program, every foreign-flag passenger ship that intends to embark passengers from a U.S. port must comply with a U.S. Coast Guard plan review. The plan consists of visits by U.S. Coast Guard personnel to the shipyard while the vessel is under construction, and an examination at the time of vessel delivery. A CVE certificate, valid for one year, is issued at the end of a successful examination. Vessels are then examined every three months, with the CVE certificate being renewed annually. Refer to E.5.a of this section for reference information.

# E.4. Safety, construction, and equipment requirements

The owner, applicable classification society, and flag state administration have the responsibility to ensure that the vessel complies with applicable safety, construction, and equipment requirements found in the following:

- Safety of Life at Sea (SOLAS) Convention
- International Convention for the Prevention of Pollution from Ships (MARPOL)
- International Labor Organization Merchant Shipping (minimum standards) Convention No. 147 (ILO 147)
- International Convention on Standards of Training, Certification and Watchkeeping for Seafarers (STCW)
- International Convention on Load Lines

The U.S. Coast Guard CVE Program verifies that the vessel is in substantial compliance with these conventions.





#### **E.5. References** This section contains the following references:

E.5.a. CVE plans	http://www.uscg.mil/hq/msc/prguidance/h2%2D21.doc	
	Provides access to the U.S. Coast Guard Marine Safety Center's guidelines for review of CVE plans.	





## Section F. Commercial Fishing Vessel Safety Program

#### Introduction

The U.S. commercial fishing fleet is estimated to consist of approximately 96,000 vessels, of which 650 are over 79 feet in length. The commercial fishing industry is one of our nation's most hazardous industries, with commercial fishing-related deaths well above the average rate for the maritime industry as a whole. The U.S. Coast Guard's Commercial Fishing Vessel Safety (CFVS) Program strives to improve vessel safety and minimize these vessel-related fatalities.

#### F.1. Mission

Enforce commercial fishing vessel safety regulations.

#### F.2. Safety

Although the commercial fishing industry is largely unregulated, the CFVS Program seeks to improve safety in the fishing industry by helping fishermen comply with existing safety regulations through:

- education,
- public awareness,
- voluntary dockside examination of vessels, and
- regulatory enforcement during an at-sea boarding.

Refer to F.4.a of this section for reference information.

## F.3. Vessel compliance

Examiners check vessel compliance with applicable safety and navigational equipment requirements including emergency position indicating radio beacons (EPIRBs), survival craft, personal flotation devices, and firefighting gear. During voluntary examinations, examiners also identify problem areas and suggest improvements to operational procedures, hull material condition, electrical wiring, and other non-regulated systems that may decrease risk of casualty and/or improve chances of survival in the event of a casualty.





#### **F.4. References** This section contains the following references:

F.4.a.	Commercial	Fishing
Vessel	Safety Program	n

http://www.uscg.mil/hq/g-m/cfvs/index.htm

Provides access to the U.S. Coast Guard's CFVS website.



## Section G. Recreational Vessel Safety (Boating Safety) Program

#### Introduction

Recreational boating is very popular in the United States and in many other countries. There are approximately 13,000,000 registered recreational vessels in the United States and the number is growing. Boating safety is one of the U.S. Coast Guard's most publicly visible missions, but it is too large a mission for the U.S. Coast Guard to manage alone. For this reason, jurisdiction for boating safety is shared with all 50 states and territorial jurisdictions.

#### G.1. Mission

Improve the safety of recreational boats and their safe operation by recreational boaters with the ultimate goal of reducing the loss of life, injuries and property damage that occur on U.S. waterways.





#### G.2. Objectives

The U.S. Coast Guard is the designated National Recreational Boating Safety Coordinator. As the "national partner", the U.S. Coast Guard's job is to collect and share information, establish minimum safety requirements for boats and equipment, and work closely with state authorities to enforce boating safety laws. The U.S. Coast Guard has established partnerships to work together for safe boating across the country with the following shared objectives:

- Improving the safety of boats and their associated equipment.
- Improving the physical and operational boating environment.
- Improving interagency cooperation, coordination and assistance.
- Improving the demonstrated knowledge, skills, abilities, and behaviors of boaters.

# G.3. Improving the safety of boats and their associated equipment

As a part of efforts to minimize fatalities and injuries related to recreational vessels and their equipment, the U.S. Coast Guard:

- develops and adopts regulations for vessel manufacturer compliance,
- assigns Manufacturer Identification Codes (MICs) to boat manufacturers, and
- publishes Boating Safety Circulars (BSCs).

## G.3.a. Regulations

The U.S. Coast Guard has developed or adopted regulations for recreational vessel manufacturers to follow (Titles 33 and 46 CFR). These regulations govern the design and construction of recreational boats and include:

- Manufacturer certification
- Identification of boats
- Display of capacity information
- Safe loading
- Safe powering
- Carriage requirements (safety gear)
- Flotation
- Electrical systems
- Fuel systems
- Ventilation
- Start-in-gear protection
- Navigation lights and backfire flame control
- Regulations for the manufacture and importation of recreational boats and associated equipment

Refer to G.8.a and G.8.b of this section for reference information.



#### G.3.b. Manufacturer identification code

Manufacturers are required to apply in writing to the U.S. Coast Guard for assignment of a Manufacturer Identification Code (MIC) for all recreational boats sold in or imported into the United States. These boats are required to have a twelve character Hull Identification Number (HIN). The first three characters of this HIN are the MIC. The U.S. Coast Guard maintains a database of all recreational boat manufacturers in the United States and U.S. importers of recreational boats. This database contains information about active, out of business, and Canadian manufacturers.

## G.3.c. Boating safety circular

The Boating Safety Circular (BSC) provides a means to "pass the word" regarding explanations of various rules and regulations for recreational boats and other items of general boating interest. The BSC is informational only as nothing appearing in it establishes or proposes regulations or standards. It is a valuable source of information on established or proposed regulations and standards, as well as other boating safety topics, accepting consumer complaints, or a possible safety defect report, delivered on-line to the U.S. Coast Guard through our website.

#### G.4. Improving the physical and operational boating environment

Working to improve boaters' abilities to navigate and operate safely within the physical environment, the U.S. Coast Guard performs the following functions:

- Maintains aids to navigation.
- Enforces the law against intoxicated boaters and removes them from the environment.
- Facilitates a broad understanding and recognition of safety rules and principles.

# G.5. Improving interagency cooperation, coordination and assistance

Boating safety is too large a problem for the U.S. Coast Guard to manage without cooperating with many other organizations, both commercial and governmental.

# G.6. Improving knowledge, skills, abilities and behaviors of boaters

There are many boating safety courses offered throughout the U.S. The Coast Guard Auxiliary, U.S. Power Squadrons (USPS) and most states offer courses for all types of recreational boaters and for all ages. Courses range from the "Water 'N Kids" course to a course for boaters who want to learn electronic navigation. The most popular courses, those required before taking any of the advanced courses, generally are 6 to 13 lessons in length.



#### G.6.a. U.S. Coast Guard auxiliary courses

Refer to  $Section\ H$  of this chapter for information regarding U.S. Coast Guard Auxiliary courses.

G.6.b. U.S. Power Squadron (USPS) boat courses The USPS is a non-profit, educational organization dedicated to making boating safer and more enjoyable by teaching classes in seamanship, navigation and related subjects. The USPS has about 50,000 members in approximately 450 local squadrons in virtually all states, Puerto Rico, the U.S. Virgin Islands, and more distant areas where Americans congregate. The USPS is the world's largest private boating organization. USPS members are encouraged to improve their boating knowledge and skills. Local squadrons offer many courses in such subjects as:

- Seamanship
- Piloting
- Plotting and Position Finding
- Celestial Navigation
- Cruise Planning
- Engine Maintenance
- Marine Electronics

These courses are taught by experienced instructors. Grade and certificate designations are awarded to each person that completes various steps in the educational program. Refer to G.8.c of this section for reference information.

G.6.c. BOAT/U.S. Foundation courses The BOAT/U.S. Foundation for Boating Safety is an independent, nonprofit education and research organization serving boaters. It was established by BOAT/U.S. in 1981 to help reduce accidents and injuries by promoting education that responds to the changing and rapidly growing safety needs of the boating community. Refer to G.8.d of this section for reference information.

## G.7. Other activities

Other U.S. Coast Guard recreational vessel safety activities include:

- Inspecting and testing recreational boats for compliance.
- Investigating consumer complaints involving alleged safety defects and non-compliance with federal standards.



- Maintaining a database that contains information on manufacturer recalls of recreational boats and associated equipment. The recalls contained in the database relate to safety defects and non-compliance only, and do not include any other recalls the manufacturer may have conducted for other purposes such as manufacturer warranty. Safety defects are those items that can occur substantially without warning and create a substantial risk of personal injury.
- Encouraging development of voluntary safety standards for recreational boats by international and national standards organizations.

#### **G.8. References** This section contains the following references:

G.8.a. Title 33 CFR	http://www.access.gpo.gov/cgi-bin/cfrassemble.cgi?title=200233
	Provides a listing of and access to Parts to Title 33 CFR, Navigation and Navigable Waters.
G.8.b. Title 46 CFR	http://www.access.gpo.gov/cgi-bin/cfrassemble.cgi?title=200146
	Provides a listing of and access to Parts to Title 46 CFR, Shipping.
G.8.c. U.S. Power Squadron	http://www.usps.org
	Provides access to the website for the U.S. Power Squadron, America's largest non-profit boating organization.
G.8.d. BOAT/U.S. Foundation courses	http://www.boatus.com
1 oundation courses	Provides access to a free online course line that aims to teach ways to reduce accidents and fatalities at sea.





#### Section H. USCG Auxiliary: Volunteer Force

#### Introduction

The U.S. Coast Guard Auxiliary was established by Congress in 1939 to assist the Coast Guard in promoting boating safety. With over 36,000 members volunteering more than 2 million hours annually, they assist the Coast Guard in non-law enforcement programs such as public education, vessel safety checks, safety patrols, search and rescue, marine environmental protection and U.S. Coast Guard Academy introduction programs for youth. Refer to H.9.a of this section for reference information.

#### H.1. Mission

To enhance safety of life on the water.



#### H.2. Organizational elements

The basic elements of the U.S. Coast Guard's Auxiliary are:

- Vessel Examination
- Vessel Education
- Operations
- Fellowship



### H.3. Vessel examination

The vessel examination element of the Auxiliary consists of the Vessel Safety Check (VSC) Program, a free examination available to any recreational boater. The VSC Program is voluntary and non-punitive, and helps achieve compliance with federal and state recreational boating safety laws, particularly regarding the carriage requirements of safety equipment. It also raises the boater's awareness of safety issues through one-on-one contact with volunteer vessel examiners.

### H.4. Vessel education

The Auxiliary teaches boating safety to recreational boaters of all ages, with both multi-lesson courses and seminar courses. Courses taught by the Auxiliary include (training is also available via internet and CD-ROM) the following:

- Boating Safety Courses (multiple level)
- Coastal Navigation (basic and advanced)
- Global Positioning System
- Personal Water Craft Operation
- Youth Courses (Grades K-3 and 4-6)

#### Persons attending Auxiliary courses include:

- canoers, kayakers, personal watercrafts operators, and skiers;
- marine dealers;
- sports/camping store employees;
- bait shop employees;
- hunters/fishermen; and
- commercial fishing vessel crews.





#### **H.5.** Operations

As an integral part of the U.S. Coast Guard, the operational use of the Coast Guard Auxiliary, their boats, aircraft, and radio stations is encouraged. Title 14 USC 826 and 831 authorize the Coast Guard to use suitably trained Auxiliarists and Auxiliary facilities. Refer to H.9.b and H.9.c of this section for reference information. The Auxiliary performs the following operations:

- Operates safety and regatta patrols and is an integral part of the Coast Guard Search and Rescue team.
- Stand communication watches.
- Assist during mobilization exercises.
- Perform harbor and pollution patrols.
- Provide platforms for boarding parties (under specific guidance and regulations).
- Perform as interpreters aboard Coast Guard vessels.
- Assist with recruiting new people for the service and U.S. Coast Guard Academy.

#### H.6. Fellowship

Fellowship is the glue holding the U.S. Coast Guard fleet together. The bond that is formed between members who work and recreate together is key to retention and health of the organization.

#### H.7. Membership

The Auxiliary has members in all 50 states, Puerto Rico, the Virgin Islands, American Samoa, and Guam. Membership is open to men and women, 17 years or older, U.S. citizens of all states and territories, civilians or active duty or former members of any of the uniformed services and their reserve components, including the Coast Guard. Facility (radio station, boat or aircraft) ownership is desirable but not mandatory.

### H.8. Additional notes

The Auxiliary also performs the following:

- Assists the active and reserve components of the Coast Guard in Search and Rescue/Recreational Boating Safety (SAR/RBS) missions on navigable (federal and sometime state) waters.
- Uses private, member-owned boats, or augments Coast Guard boats and stations, including 5,200 operational vessels, 11,000 boat crews, 200 air facilities, and 2,800 radio stations.
- Saves an average of 352 lives each year (based on three-year average).
- Assists an average of 16,434 people each year.
- Assists in saving over \$2.8M in property each year.



#### **H.9. References** This section contains the following references:

H.9.a. U.S. Coast Guard Auxiliary	http://www.cgaux.org/
	Provides access to the U.S. Coast Guard Auxiliary website.
H.9.b. Title 14 USC 826	http://uscode.house.gov/title_14.htm
	Provides access to an electronic copy of Title 14 USC, Chapter 23, Section 826, which describes Auxiliary facilities.
H.9.c. Title 14 USC 831	http://uscode.house.gov/title_14.htm
	Provides access to an electronic copy of Title 14 USC, Chapter 23, Section 831, which describes Auxiliary training.



#### Section I. Port State Control

#### Introduction

Port state control is the process by which a nation exercises its authority over foreign vessels when those vessels are in waters subject to its jurisdiction. This authority is derived from several sources, both domestic and international. A nation may enact its own laws and regulations imposing requirements on foreign vessels trading in its waters. In addition, flag states that are signatory to certain international conventions (i.e. SOLAS, International Convention on Load Lines 1966, MARPOL 73/78, STCW 95, ILO 147, COLREG 72) are empowered to verify that vessels of other nations operating within their waters comply with these conventions. If a vessel is not in compliance with the conventions that its flag state administration is party to, the port state may take action to bring these ships into compliance.

#### I.1. Port State Control Program

The United States exercises its port state control authority through the U.S. Coast Guard's Port State Control Program. The goal of this program is to eliminate substandard ships from U.S. waters. Through this program, the Coast Guard verifies that foreign-flagged vessels operating in U.S. waters comply with applicable international conventions and U.S. laws and regulations. When vessels are identified as not in substantial compliance with applicable laws or regulations, the Coast Guard imposes controls to ensure they are brought into compliance. Refer to I.6.a of this section for reference information.

#### I.2. Substandard vessel

In general, a vessel is regarded as "substandard" if the hull, machinery or equipment, such as that for lifesaving, firefighting and pollution prevention, is substantially below the standards required by U.S. laws or international conventions.

## I.3. Foreign vessel examinations

Foreign vessel examinations may be initiated by the Coast Guard, requested by another flag state administration on the basis of information regarding a potential substandard ship, or based on information regarding a potential substandard ship provided by members of a ship's crew, a professional body, an association, a trade union or any other involved individual. The examinations are not intended, nor desired to be analogous to an inspection for certification, but instead are intended to be of sufficient breadth and depth to satisfy a designated Port State Control Officer (PSCO) that a vessel's major systems are in compliance with applicable international standards and domestic requirements, and that the crew possesses sufficient proficiency to safely operate the vessel.



#### I.3.a. Purpose

The examinations are designed to verify that vessels maintain requisite, valid certificates, and that the vessels conform to the conditions required for issuance of the certificates. This is accomplished by an examination and visual assessment of a vessel's relevant components, certificates and documents, and is accompanied by limited testing of the vessel's systems and crew. When the examinations reveal questionable equipment, systems, or crew competence (in accordance with the provisions of STCW 95), the PSCO may expand the examination to conduct such operational tests or examinations as deemed appropriate.

### I.3.b. Targeting matrix

To perform this program, the U.S. Coast Guard has developed a foreign vessel targeting matrix that helps identify those vessels at greatest risk of being substandard, based on the following five identified risk factors:

- Ship's Owner
- Flag State
- Class Society
- Boarding History
- Vessel Type

### I.4. General examination

The general examination, or "walk through" portion of an annual examination, is conducted by a U.S. Coast Guard Port State Control Officer to check the condition of the following:

- Deck and Shell
- Machinery and Electrical
- Lifesaving Equipment
- Fire Safety Equipment
- Navigation Bridge
- Overall Vessel Safety
- Cargo Ship Safety Radio
- Safety and Pollution Prevention Equipment
- Waste Disposal Facilities

Additionally, the crewmembers are questioned regarding their knowledge and understanding of vessel and equipment operation manuals and instructions and are evaluated in their implementation of the International Ship Management (ISM) Safety Management System (SMS).



## I.4.a. Deck and shell

The boarding team should develop an impression of shell maintenance and the general state of the deck and side shell of the vessel to determine its seaworthiness regarding:

- deck portion,
- hull portion,
- ballast tank entry,
- load lines,
- seaworthiness, and
- voyage damage.



## I.4.b. Machinery and electrical

The boarding team assesses the condition of the machinery and electrical installations to ensure they are capable of providing sufficient continuous power for propulsion and auxiliary services regarding:

- operation,
- maintenance,
- tests and trials,
- oil and oily mixtures,
- sufficient power, and
- remote shut-off valves.



## I.4.c. Lifesaving equipment

The effectiveness of lifesaving equipment depends heavily on good maintenance by the crew and the equipments use in regular drills. The period between surveys for the SOLAS Safety Equipment Certificate can be a significant factor in the degree of deterioration of equipment. The PSCO must be mindful that the lifesaving equipment may be the last possibility of survival for a crew in an emergency.

## I.4.d. Fire safety equipment

The Port State Control Officer ensures the equipment listed within the Safety Equipment Certificate is onboard the vessel and located as described within the vessel's Fire Control Plan. The crew should be fully acquainted with the location of the equipment and knowledgeable with its use. The primary manner in which to ensure the crew is familiar with the use of the fire safety equipment is through fire drills and random questioning of crewmembers.

## I.4.e. Navigation bridge

The examination of a vessel's navigation bridge may include testing of selected equipment coupled with an examination of the vessel's logs for required entries, charts and publications. The PSCO also ensures that the person(s) assigned the responsibility of maintaining a radio watch speaks English.

## I.4.f. Overall vessel safety

The general condition of the vessel may lead the boarding team to consider matters other than those concerned with safety equipment and assignment of load lines, but nevertheless associated with the safety of the vessel. This may involve items such as:

- hatch coamings and covers,
- pumping arrangements,
- means for shutting off air and oil supplies in the event of fire,
- alarm systems, and
- emergency power supplies.

## I.4.g. Cargo ship safety radio

The validity of the Cargo Ship Safety Radio Certificate may be accepted as proof of the provision and effectiveness of its associated equipment. However, the PSCO should ensure that appropriate certified personnel are carried for the operation of a vessel's radio equipment and to ensure required listening periods are properly manned. The radio log should also be examined to verify mandatory safety radio watches are being maintained. Operator proficiency of the vessel's GMDSS should also be verified to ensure a working knowledge of the system exists as well as the working condition of the equipment.



# I.4.h. Safety and pollution prevention equipment

Onboard equipment required in situations affecting safety or pollution prevention must be in operating condition. If such equipment is inoperative and is in excess of the equipment required by an appropriate convention and/or the flag state, it should be repaired, removed or, if removal is not practicable, clearly marked as inoperative and secured.

## I.4.i. Waste disposal facilities

The boarding team may determine if all operational requirements of Annex V of MARPOL 73/78 have been met. (Refer to I.6.b of this section for reference information.) The boarding team may determine if the reception facilities have been used and note any alleged inadequacy of such facilities.

## I.4.j. Manuals and instructions

The boarding team must determine if appropriate crewmembers understand the information given in manuals and instructions relevant to the safe condition and operation of the vessel and its equipment. They must also ensure that they are aware of requirements for maintenance, testing, training drills, and required logbook entries.

#### I.4.k. ISM Safety Management System

The PSCO is tasked with verifying that the vessel's crew has successfully implemented the requirements of the ISM Safety Management System (SMS). In doing so, the PSCO observes the crew's performance in their assigned duties as well as reviews the vessel's ISM documents and manuals outlining the procedures required to ensure the upkeep of the vessel's systems. Should there appear to be a failure on the part of the vessel's crew to have implemented the SMS, the PSCO will require an external audit to occur.

#### I.5. Examination books

Vessel examination books have been created as a job aid to Coast Guard PSCOs and are designed as a checklist of vessel systems. Annual examinations and reexaminations are conducted according to the guidance in the appropriate examination book.





#### **I.6. References** This section contains the following references:

I.6.a. Port State Control Program	http://www.uscg.mil/hq/g-m/pscweb/index.htm	
	Provides access to the U.S. Coast Guard's Port State Control Program website.	
I.6.b. MARPOL 73/78, Annex V	http://www.imo.org/home.asp	
	Provides access to MARPOL 73/78, Annex V through IMO's link to Conventions.	



#### Section J. Investigations

#### Introduction

The U.S. Coast Guard is the nation's leading marine safety organization and has broad, multifaceted jurisdictional authority and responsibilities. In executing these responsibilities, the Coast Guard relies upon the information it develops through detailed investigation of various occurrences.

## J.1. Governing policy

The Coast Guard's Marine Investigations Program was instituted to meet the requirements of various statutes, including Title 46 USC 63, Part 6301. Refer to J.5.a of this section for reference information.

#### J.2. Statutedriven programs

After a long series of marine incidents in the early 1800s involving heavy losses of life and property, Congress enacted its first marine safety legislation and created a federal organization, the Steamboat Inspection Service, to preserve and protect the public from preventable marine incidents. Federal search and rescue forces preserved life in the aftermath of a marine incident; federal agencies involved with maritime law enforcement and aids to navigation handled the protection aspect (before-the-fact) of marine safety. The Coast Guard's current marine safety programs retain the philosophical objectives of those historical preservation and protection programs. In the modern world, numerous statutes and regulations affect the marine environment and the marine industry. This has resulted in the following distinct Coast Guard programs concerned with marine safety and related issues:

- Commercial Vessel Safety (CVS)
- Port and Environmental Safety (PES)
- Marine Environmental Response (MER)
- Waterways Management (WWM)
- Recreational Boating Safety (RBS)
- Bridge Administration (BA)

The Marine Investigations Program supports all of these statute-driven programs.





## J.3. Enforcement tactics

While Congress provided the Coast Guard with specific powers and constraints to enforce marine related laws and regulations, different enforcement tactics have evolved as a result of the differences between various statutes, including, but not limited to, withholding vessel documentation and prevention. Today, the Coast Guard uses its many marine safety program enforcement tactics to affect its single enforcement strategy which is:

Use the minimum enforcement necessary to protect the public by ensuring present and future compliance.

J.3.a. Withholding vessel documentation

As an example of an enforcement tactic, CVS Program objectives can be met by withholding a Certificate of Inspection (COI) from a vessel that does not comply with the safety standards prescribed by laws and regulations, or by withholding a Merchant Mariner's Document (MMD) or license from any person who does not comply with the requirements of appropriate federal laws and regulations.



## J.3.b. Prevention as protection

The Port and Environmental Safety (PES) Program has neither issuance of licenses or documents, nor "before-the-fact" inspection and certification of potential pollution sources, except for certain vessels and liquid bulk facilities. Originally, the enforcement concept for PES was one of "crime and punishment." Since the program's inception, emphasis has shifted from punishment to prevention because, ultimately, the only true protection from pollution incidents comes from preventing them.

#### J.4. Marine Investigations Program

During its early years, the primary mission of the Marine Investigations Program was to support the inspection activities of the Steamboat Inspection Service by detecting professional misconduct or negligence on the part of licensed mariners and non-conformity with steamship regulations. Such investigations, authorized under the Steamboat Act of 1852, were to eliminate the causes of major accidents, like boiler explosions, which took the lives of as many as 700 Americans each year. This historical mission has evolved into the modern personnel action marine casualty investigation segment of the Marine Investigations Program. One of our primary purposes in conducting investigations is to determine if misconduct or negligence on the part of licensed mariners contributed in any way to causing an accident.

#### J.4.a. Investigation and law enforcement roles

The U.S. Coast Guard's investigation and law enforcement roles have grown since 1852 to include:

- investigation into recreational boating deaths,
- detecting violations of criminal and other statutes for law enforcement purposes,
- taking remedial law enforcement action such as civil penalties and suspension and revocation,
- investigating pollution, and
- enforcing international treaties such as:
  - the International Convention on Load Lines (ICLL), 1966;
  - the International Convention for the Safety of Life at Sea (SOLAS) 1974;
  - the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers (STCW), 1978; and
  - the International Convention for the Prevention of Pollution from Ships, 1973, as amended 1978 (MARPOL 73/78).



## J.4.b. Mission accomplishment

The Marine Investigations Program accomplishes its mission through the investigation of various incidents, and through various follow-up activities designed to ensure these incidents are not repeated. Investigative activities are intended to:

- uncover the causes of incidents,
- document the events and their causes,
- initiate the necessary corrective actions, and
- detect and suppress federal law violations.

#### **J.5. References** This section contains the following references:

J.5.a. Title 46 USC 63, Part 6301	http://uscode.house.gov/title_46.htm	
	Provides access to Title 46 USC, Chapter 63, <i>Investigating Marine Casualties</i> , Part 6301.	



## **Chapter 2 Maritime Security**

#### Introduction

The U.S. Coast Guard is the primary guardian of United States maritime borders. In this capacity, the U.S. Coast Guard operates as both a civil authority and a military service.

#### Mission

Protect our maritime borders by halting the flow of illegal drugs, migrants and contraband into this country via maritime routes; preventing illegal incursions of our Exclusive Economic Zone; and suppressing violations of federal law in the maritime region.

#### In this chapter

This chapter contains the following sections:

Section	Mission Areas	See Page
A	Law Enforcement	2-3
В	International Law	2-13
С	Fisheries Law Enforcement	2-25
D	Marine Protected Species	2-29
Е	Drug Interdiction	2-33
F	Migrant Interdiction	2-55

#### Model Maritime Operations Guide





#### Section A. Law Enforcement

#### Introduction

All U.S. Coast Guard enforcement actions are provided for by federal statute and further interpreted by published, publicly accessible regulations. Like all U.S. Coast Guard personnel, law enforcement personnel are expected to maintain the highest standards of ethical conduct and professionalism. They are responsible to the public whom they serve and are expected to treat citizens with courtesy, respect and due consideration for the nature of any legitimate activity in which they are engaged. They recognize that the continued effectiveness of law enforcement operations depends upon public support for the laws and regulations that are enforced and upon public recognition of the professional manner in which enforcement responsibilities are discharged. U.S. Coast Guard enforcement of maritime laws and regulations is accomplished through:

- site inspections,
- vessel boardings, and
- air surveillance.

Unlike most other U.S. law enforcement authorities that require courtordered warrants to search personal premises, the U.S. Coast Guard has authority to board a vessel without special warrant to enforce a variety of laws ranging from safety inspections to smuggling.

#### In this section

This section contains the following information:

Mission Areas	See Page
Site Inspections	2-4
Vessel Boardings	2-5
Air Surveillance	2-10



#### **Site Inspections**

## A.1. Authority for inspections

The Federal Water Pollution Control Act (FWPCA) established procedures, methods, and other requirements to prevent and contain discharges of oil and hazardous substances from vessels and from offshore. The U.S. Coast Guard has been delegated authority to enforce the FWPCA and has issued pollution prevention regulations for vessels and vessel-related oil transfer facilities. The Environmental Protection Agency (EPA) has the jurisdiction for control and inspection of non-transportation related oil facilities.

Furthermore, Commandant Publication P5090.1A, Commanding Officer's Environmental Guide, contains information on requirements to ensure environmental regulations at Coast Guard units and to respond to accidental environmental damage that may result from contingencies. Over thirty different environmental impact areas and the Coast Guard's programs for administering and inspecting these areas are provided in COMDTPUB P5090.1A. Refer to A.17.a of this section for reference information.

## A.2. Fundamentals of enforcement

The U.S. Coast Guard and the Environmental Protection Agency (EPA) share the responsibility for conducting and enforcing inspections of facilities and equipment outlined in the FWPCA. The determining factor is whether or not the facility is transportation related, under Coast 0Guard jurisdiction, or EPA regulated. The Coast Guard will regulate transportation related facilities such as those related to vessel pipelines and other means of transport. The EPA regulates and inspects facilities that drill, produce, gather, store, process, refine, or distribute on-site; or consume oil or hazardous substances.

# A.3. Environmental protection specialists

Environmental Protection Specialists (EPS) are experts on the procedural and legal requirements of mandatory federal, state and local environmental regulations. Their mission is to help local Coast Guard stations manage environmental compliance programs by maintaining current knowledge of all federal, state and local environmental laws.

EPS are experienced in hazardous waste management and compliance regulations, Occupational Safety and Health Administration (OSHA) regulations, and are certified in the cleanup of a hazardous spill or hazardous waste operations.



#### **Vessel Boardings**

## A.4. Reasons for boardings

The fundamental reasons for conducting vessel boardings are:

- to enforce all U.S. maritime laws, particularly relating to marine safety, drugs, customs, fisheries and immigration; and
- to educate mariners on the proper and safe practices associated with operating vessels.

## A.5. Minimizing impact

Boardings are conducted thoroughly but expeditiously so as to interfere as little as possible with legitimate voyages. Where there is a high probability of detecting unlawful conduct, or a need to increase the frequency of boardings in a given area and/or of particular vessel types, the possible negative impact on maritime commerce or potential ill will among the boating public is not a significant factor in boarding decisions. In other circumstances, however, impacts on maritime commerce and the boating public are considered carefully. Both groups have legitimate interests relating to oceans and waterways use, and the continuing support of both groups is important to the future effectiveness of U.S. Coast Guard law enforcement and other operations.

## A.6. Personnel conduct

Boarding personnel are required to promote a positive impression of the service through outstanding appearance, professional conduct and competence.

### A.7. Boarding teams

Commanding Officers/Officers in Charge (COs/OICs) are responsible for ensuring their law enforcement personnel are properly trained, equipped and motivated to carry out their duties. The boarding team is comprised of the boarding officer and qualified law enforcement personnel. At the discretion of the CO/OIC, non-qualified Coast Guard personnel (e.g., break-in boarding personnel, cadets, engineering personnel) may accompany the boarding team for assistance or training purposes, but are not allowed to engage in law enforcement activities.

### A.7.a. Boarding officer

The boarding officer, under the CO's/OIC's supervision, is in charge of the boarding team and is responsible for the proper conduct of the boarding.

## A.7.b. Qualified boarding team members

Qualified law enforcement team members may be Coast Guard and/or non-Coast Guard personnel from a federal, state or local government agency.



## A.7.c. Other law enforcement agencies

When personnel from federal, state or local government agencies participate in boardings, they agree in advance to follow the boarding officer's direction and comply with Coast Guard policy governing the use of force. Special circumstances may dictate deviation from this policy with the concurrence of higher authority.

## A.7.d. Boarding team qualifications

Boarding officers are required to meet the following criteria:

- A Coast Guard commissioned, warrant, or petty officer.
- Qualified in accordance with the *Boarding Officer/Boarding Team Member Personnel Qualification Standard (PQS)*, COMDTINST M16247.3 (series).
- Authorized to carry a personal defense weapon.
- Command designated in writing.

Coast Guard non-rated personnel may not be boarding officers, but can be boarding team members under the supervision of a qualified boarding officer. To be a boarding team member, an individual must meet all of the above criteria except the first.

### A.7.e. Boarding team size

Boarding teams are comprised of at least two qualified personnel, at least one of which is a qualified boarding officer. Boarding team size beyond this minimum requirement is determined on a case-by-case basis. Factors that are considered when making these determinations include:

- suspicion of criminal activity,
- size and condition of the vessel,
- number of personnel thought to be onboard,
- vessel activity being examined or regulated, and
- recent experience in the operating area.

When an adequate number of qualified boarding personnel are not available to safely conduct a boarding, the following considerations are made:

- postpone the boarding and call for additional personnel, or
- postpone the boarding and escort the vessel to a location where the boarding may proceed safely.



## A.8. Preboarding activity

Policy exists regarding pre-boarding activity that must be made in determining whether to board a particular vessel. A determination is made by:

- asking right of approach questions,
- asking pre-boarding questions,
- establishing authority and jurisdiction, and
- conducting a risk/benefit assessment.

## A.8.a. Right of approach questions

Under international law, a warship, military aircraft, or other duly authorized vessel may approach in international waters any vessel, other than a warship or government vessel on non-commercial service, to verify its nationality. In order to determine the vessel's nationality, the unit asks the right of approach questions contained in *Part I* of the Law Enforcement Checklist.





## A.8.b. Preboarding questions

Pre-boarding questioning is conducted by U.S. Coast Guard cutters and boats and vessels under U.S. Coast Guard Tactical Control (TACON) to obtain specific law enforcement information. Units contemplating law enforcement action, if practicable, ask the pre-boarding questions contained in *Part I* of the Law Enforcement Checklist. Rather than asking questions about weapons during pre-boarding, boarding teams query the master upon boarding. When practicable, units contemplating law enforcement action conduct an intelligence database check on the vessel and master.

## A.8.c. Authority and jurisdiction

U.S. Coast Guard units ascertain whether their authority and jurisdiction exist prior to conducting a boarding and/or taking follow-up law enforcement action. Additionally, U.S. Coast Guard units are required to comply with internal policy guidance that may limit the exercise of authority and jurisdiction without first obtaining a statement of no objection (SNO) from a higher Coast Guard authority. These internal controls allow senior authorities to consult with other agencies, and to consider non-operational factors, as necessary.

## A.8.d. Risk/benefit assessment

Given the limited number of enforcement resources, the U.S. Coast Guard cannot board all vessels encountered, and therefore, operational cost/benefit decisions are made. While all possible contingencies cannot be addressed, the following factors figure prominently in deciding whether to initiate a boarding:

- Safety of personnel and property.
- Probability of detecting unlawful conduct.
- Impact on maritime commerce and boating public.

The U.S. Coast Guard makes every attempt to ensure its personnel and assets, the people and property against which enforcement action is contemplated, and bystanders are not placed at undue risk of injury or loss.

## A.9. Boarding procedures

Detailed guidance and explicit boarding procedures and tactics have been developed to ensure that boardings are conducted safely and effectively.

## A.9.a. Vessel inspections

A vessel inspection is a systematic process conducted to ensure compliance with governmental regulations including those for:

- vessel safety,
- fisheries, and
- marine safety.



#### NOTE &

If, during the course of a vessel inspection, evidence of criminal activity is encountered (e.g., contraband is discovered on the chart table while checking required publications on the bridge), a criminal investigation takes place.

#### A.9.b. Detention and release of persons and property

Vessels, the persons aboard, and property associated with either may be detained by the Coast Guard, at sea or ashore, for the time reasonably necessary to:

- complete an investigation of a violation of law (including interviewing suspects and witnesses);
- ensure the safety of persons and property;
- effect other law enforcement action (e.g., seizing the catch of a fishing vessel); and
- carry out the enforcement of a law where the vessel, person or property is subject to a more severe sanction (e.g., vessel subject to forfeiture or person subject to arrest).



#### Air Surveillance

## A.10. Aircraft patrols

Aircraft act as force multipliers for patrolling surface units; with their speed and surveillance equipment, aircraft can search much greater areas than boats, cutters, or ships. The basic goals of aircraft involved in counter narcotics and alien/migrant interdiction operation (AMIO) missions are to locate and monitor movements of targets of interest (TOIs). Other goals include interrogation of vessels, relocation of TOIs and creating a visible deterrent to illegal activities.

## A.11. Flight safety guidelines

U.S. Coast Guard personnel conduct air surveillance in accordance with the following flight safety guidelines:

- Aircraft de-confliction is a pressing concern for each and every sortic launched in support of a law enforcement mission.
- Only one aircraft at a time is assigned to patrol a given area.
- Aircraft altitudes are staggered by at least 250 feet in adjacent search areas.
- If two aircraft are operating within the same search area, altitudes are staggered by at least 500 feet.
- All aircraft are aware of other nearby aircraft.
- Extreme care is exercised in planning aircraft patrols to ensure safety of flight.

#### A.12. Maximum range and endurance speeds

Maximum range speeds are used to permit aircraft to cover the largest area possible and are typically higher than those used for maximum endurance. Maximum endurance flight profile is used when desiring to cover small areas for the longest time possible, such as conducting a barrier patrol across a confined stretch of ocean or maintaining surveillance of a TOI.

## A.13. FAA requirements

As mandated by Federal Aviation Agency (FAA) regulations, aircraft position (navigation) lights are used and should only be extinguished in urgent circumstances and with the consent of the aircraft commander. Additionally, the aircraft should remain between the target and the sun or moon to minimize visual counter detection.

### A.14. Pre-flight briefs

Standing Coast Guard and Navy policies require a pre-flight brief for helos deployed from cutters and ships. Pre-flight briefings provide an ideal opportunity to coordinate tactics between the aircraft, the host unit, and other law enforcement units (LEUs) in the vicinity.



## A.15. Mapping flight

Prior to a surface unit arriving in a new area, it is often effective to conduct a mapping flight of the region. The mapping flight is designed to obtain an overview of vessel traffic patterns and concentrations of vessel activity in the new LEU patrol area.

#### General guidelines are:

- The flight should precede the arrival of the LEU by 24 to 48 hours.
- Track spacing should be wide enough to ensure coverage of at least 50 to 75 percent of the LEU's patrol area.
- The patrolling aircraft should remain covert.

## A.16. Air and surface patrols

The guiding principle of coordinating air and surface patrols is to fly the aircraft between the LEU and the source of the threat. As targets are sighted, the LEU can select those most suitable for intercept. Aircraft patrols should be close enough to the surface unit so that intercepts can be conducted in a timely manner, that is, within a few hours. Conducting aircraft patrols behind the cutter or ship requires the LEU to engage in a stern chase to catch TOIs sighted.

### A.17. References

This section contains the following references:

A.17.a. COMDTPUB
P5090.1A, Commanding
Officer's Environmental
Guide

http://www.uscg.mil/systems/gse/co%27s%20guide.doc

Provides access to an electronic copy of COMDTPUB P5090.1A.

#### Chapter 2 – Maritime Security





#### Section B. International Law

#### Introduction

International law is derived from treaties and certain historical traditions common to nations. Some of the concepts defined in international law can either expand or restrict the boarding officer's authority. To properly brief the boarding party on the scope of their authority, it is important that the boarding officer understand the following concepts:

- Innocent and non-innocent passage
- Force majeure
- Hot pursuit
- Constructive presence
- Right of visit
- Jurisdiction
- Vessel nationalities
- Jurisdictional locations and types
- Persons exempt from authority

## **B.1.** Innocent passage

Innocent passage is an international doctrine and is defined as the right of non-interference enjoyed by a vessel transiting inbound, outbound or through a foreign territorial sea.

"Passage" means a continuous and expeditious traversing of the territorial sea, but may include anchoring in the course of ordinary navigation. Passage is innocent as long as it is not prejudicial to the peace, good order, or security of the coastal state.

#### NOTE &

Vessels are presumed to be innocent and do not require permission from a coastal state to enter the territorial sea.

The following are two examples of innocent passage:

- A Canadian freighter is northbound three miles off the north coast of Cuba. The vessel is transiting the Old Bahama Channel.
- A Cuban tanker is southbound to Venezuela. Two miles offshore from Haiti, the vessel is navigating through the Windward Passage.



## **B.2.** Non-innocent passage

Passage is considered non-innocent if the vessel:

- threatens or uses force against the coastal state.
- exercises or practices with weapons.
- engages in collecting information to the prejudice of the defense or security of the coastal state.
- commits any act of propaganda aimed at affecting the defense or security of the coastal state.
- launches, lands, or takes onboard any aircraft.
- launches, lands, or takes onboard any military device.
- embarks or disembarks any commodity, currency, or person contrary to the Fiscal, Sanitation, Immigration or Customs (FSIC) laws of the coastal state.
- causes any willful or serious pollution.
- conducts any fishing activities.
- conducts research or survey activities.
- commits any act aimed at interfering with any system of communication or any other facilities or installations of the coastal state.
- conducts any other activity not having a direct bearing on passage.

The following is an example of non-innocent passage:

 A Panamanian-flagged research vessel conducting an oceanographic survey 1.5 nautical miles off the coast of the United States, without the permission of the United States, would not be considered innocent passage.

This is non-innocent passage because the vessel is engaged in activity that is considered prejudicial to the peace, good order or security of the United States.

## **B.3.** Force majeure

The principle of force majeure generally means that a vessel forced into coastal state waters by virtue of distress, whether brought about by natural or man-made causes, is generally not subject to coastal state jurisdiction during a reasonable period of time necessary to remedy such distress; but a coastal state may verify a claim of force majeure by boarding the vessel.

The following is an example of force majeure:

• A Canadian vessel bound for the Bahamas is expecting to run into a hurricane. It seeks shelter in the Chesapeake Bay.



## B.3.a. Jurisdictional limitations of force majeure

A vessel is immune from all coastal state enforcement actions that arise inevitably from their entry in distress, unless the status is waived by the flag state of the vessel or the claim is found to be false.

## B.3.b. Voiding a vessel's claim of force majeure

A vessel's claim of force majeure will be voided if:

• the vessel is in the vicinity of the territorial waters with the intent to violate that nation's law, or

(Example: A Slombovian vessel is off the coast of Jamaica to off-load narcotics. It is forced into the Port of Montego Bay to avoid a severe storm.)

• the vessel violates the nation's law after it enters the territorial seas.

(Example: A Slombovian vessel, with a partial loss of its propulsion plant, pulls into Chesapeake Bay and pumps its oily bilges.)

#### **B.4.** Hot pursuit

Hot pursuit allows a coastal state to preserve its jurisdiction to take law enforcement action against a foreign flag vessel that flees beyond normal jurisdictional limits after it has committed a violation of the coastal state's law. Hot pursuit may be initiated in any coastal zone of jurisdiction, but only for violation of laws applicable in that zone. The right of hot pursuit may only be exercised by warships, military aircraft, or other clearly marked vessels or aircraft in government service.

## B.4.a. Establishing hot pursuit

All of the following criteria must be met when establishing hot pursuit:

- A foreign vessel is suspected of violating a law that is applicable in the zone of jurisdiction the vessel is in.
- The law enforcement vessel or aircraft visually and/or audibly signaled the vessel to stop while within the relevant coastal zone of jurisdiction (under international law, radio communication alone does not fulfill this prerequisite).
- The pursuit is commenced while the foreign vessel is within the relevant coastal zone of jurisdiction.
- The vessel flees from your jurisdictional waters.
- The pursuit is continuous either visually or on radar. (If pursuit is passed to another LEU, identification of the vessel must be positive.).
- The vessel does not enter the territorial seas of another nation.



## B.4.b. Example of hot pursuit

The following is an example of hot pursuit:

• A Slombovian fishing vessel located two miles off the coast of Peru is fishing illegally. A Peruvian patrol boat visually and audibly signals the vessel to heave to, then begins to pursue the vessel as it takes up a course onto the high seas. A Peruvian helicopter joins the chase and the patrol boat passes description, course, and speed to the helicopter. The helicopter positively identifies the vessel, while the patrol boat has contact. The patrol boat stops its chase and the helicopter pursues the vessel. A nearby Peruvian frigate receives the description, course, and speed from the helicopter and moves to intercept. The frigate takes position twenty miles offshore, identifies the vessel while the helicopter has contact, intercepts, and stops the vessel. The frigate then boards the vessel and cites it for violations of Peruvian law.

This is hot pursuit even though the vessel was chased by three different units. Each unit had positive identification and contact was never lost with the vessel.

## B.4.c. Example of losing hot pursuit

The following is an example of losing hot pursuit:

 A Slombovian fishing vessel is north bound in the Windward Passage two miles off the coast of Haiti. The vessel has been seen conducting narcotics off-loads. A Haitian Coast Guard boat properly initiates hot pursuit of the vessel as it departs Haitian waters and heads toward Cuban waters. The Haitian Coast Guard boat loses visual contact but maintains good radar contact on the vessel. The Slombovian vessel enters Cuba's territorial sea.

Because the Slombovian fishing vessel entered the territorial seas of another nation, hot pursuit is terminated.

#### B.5. Constructive presence

The doctrine of constructive presence allows a coastal state to exercise jurisdiction over a foreign flag vessel which remains seaward of coastal state waters, but acts in concert with another vessel (contact vessel) or aircraft which violates coastal state laws in waters where it may exercise jurisdiction. Hovering vessels, more commonly referred to as mother ships, remain outside a nation's jurisdictional waters while other vessels make contact with it, usually for the purposes of smuggling contraband. The contact vessel then enters the jurisdictional waters of that nation and is boarded and seized. The coastal state may also exercise jurisdiction over the mother ship because it was constructively present in the same coastal state zone of jurisdiction as the contact boat.



NOTE &

It is imperative that some real connection be made between the contact vessel and the hovering vessel in order to constructively place the hovering vessel in your waters.

#### B.5.a. Example of constructive presence

The following is an example of constructive presence:

A Slombovian vessel is drifting thirteen miles off the coast of Puerto Rico with a cargo of marijuana. During the night, several go-fast boats from San Juan rendezvous with the vessel to transfer its cargo to trucks waiting on the beach. While the off-load is in progress, a U.S. Coast Guard patrol boat and cutter arrive on scene. The patrol boat stops one of the contact boats that are loaded with marijuana inside U.S. territorial seas. Statements by the crew of the contact boat establish they were using the Slombovian boat as a mother ship. Without seeking consent from Slombovia, the cutter boards the Slombovian vessel as if it is in U.S. Territorial Seas. Both vessels are seized and the crews arrested

#### and hovering vessels

B.5.b. Hot pursuit Because the doctrine of constructive presence conceptually extends a nation's coastal zones of jurisdiction around the hovering vessel, provided jurisdiction has been properly asserted over a contact vessel, law enforcement vessels may take up hot pursuit of the hovering vessel if it flees the scene.

#### **B.6.** Right of visit

The right of visit allows warships to board other vessels (except other warships) on the high seas that are reasonably suspected of:

- being without nationality, or
- being the same nationality as the warship, or
- engaging in piracy, or
- engaging in slavery, or
- engaging in unauthorized radio or television broadcasting.

#### NOTE &

The last three activities listed above are considered universal offenses, which may be subject to the jurisdiction of any nation.

#### B.6.a. Purpose

The sole purpose of the right of visit is to investigate the warship's suspicions that the vessel is engaged in one of the above activities. Once the boarding team has completed its investigation, it must either depart the vessel, obtain the master's consent to remain onboard, or, if criminal or other unusual activity is discovered, notify their operational commander for guidance.



#### **CAUTION!**

In exercising the right of visit, you are potentially dealing with a foreign vessel. You should keep your operational commander well advised of your activities.

## B.6.b. Examples of right of visit

The following are examples of the right of visit:

- A Slombovian patrol boat patrolling in the Yucatan Straits commences intercept of an unidentified radar contact. The patrol boat closes to within 200 yards of the vessel and notes that there are no markings denoting the vessel's nationality and that the vessel is not flying a flag. The master does not respond to radio hails from the patrol boat. A boarding party is dispatched from the patrol boat and boards the vessel in question. The boarding party determines from the vessel's documents and the master that it is registered in Slombovia. The boarding party enforces applicable Slombovian laws on the vessel.
- The Slombovian patrol boat approaches another ship that is not flying a flag. Through radio communications, it is established that the ship is of Dutch registry. The patrol boat, being satisfied of the vessel's claimed nationality, departs the scene.

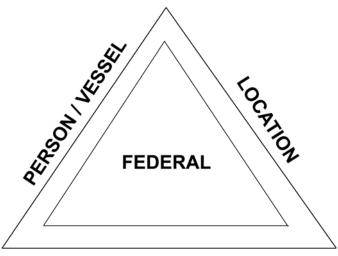
#### **B.7.** Jurisdiction

Jurisdiction is the right to exercise legal authority. To establish jurisdiction all three elements of the "jurisdictional triangle" must be present. These three elements are:

- Location geographical area where law enforcement authority can be exercised.
- Person/vessel people and/or vessels subject to enforcement authority.
- Offense/activity violation of applicable law.

The following illustration depicts how all three elements are used to form the jurisdictional triangle. If any side of the jurisdictional triangle is missing, there is no jurisdiction.





#### **OFFENSE / ACTIVITY**

### **B.8.** Vessel nationalities

Every state determines the conditions for granting its nationality to ships.

## B.8.a. A country's vessel

A country's vessel may be defined as a vessel that:

- is documented in that country, or
- is given other official documents such as a state certificate of numbers, or
- is owned solely or in part by a citizen of that country, and not legally registered in another country.

### B.8.b. Foreign vessel

A foreign vessel is a vessel that:

- is not from that country,
- is legally registered under the laws of another nation, and claims the nationality of that nation.

## B.8.c. Vessel without nationality

A vessel without nationality is a vessel that has no right to fly the flag of any nation.

Example: A 52-foot cabin cruiser that is flying no flag and is showing no homeport or official numbers on its hull. The master claims no country of registry.

#### NOTE &

A vessel without nationality is subject to the jurisdiction of all countries.



#### B.8.d. Assimilated to a vessel without nationality

A vessel assimilated to a vessel without nationality is treated as if it were without nationality because of a false or conflicting claim of nationality.

Example: A vessel claims French registry, but the government of France denies it is registered there.

Example: A vessel claims registry in the U.K., is flying a Japanese flag, and has the homeport of New York displayed on its stern.

#### **B.9.** Jurisdictional locations

Jurisdictional locations are defined by the following terms:

- **Internal Waters**
- Territorial sea baseline
- Territorial sea
- Contiguous zone
- Exclusive economic zone
- High seas
- Foreign territorial waters

#### B.9.a. Internal Waters

Internal waters are all waters shoreward of the baseline.

#### B.9.b. Territorial sea baseline

The territorial sea baseline is generally, the low tide mark along the coast.

#### B.9.c. Territorial sea

The territorial sea is the area extending from the baseline to a line parallel to, and no more than, 12 nautical miles seaward from the baseline.

#### B.9.d. Contiguous zone

The contiguous zone is the area extending no more than 12 nautical miles from the outer limit of the territorial sea

#### B 9 e Exclusive economic zone

The exclusive economic zone (EEZ) is the area extending from the outer limit of the territorial sea to a distance of no more than 200 nautical miles from the baseline

#### B.9.f. High seas

High seas are waters extending seaward of a nation's territorial sea to the territorial sea of another nation.

NOTE & If a nation claims an EEZ, then high seas extend seaward of the EEZ.



### B.9.g. Foreign territorial waters

Foreign territorial waters are waters of the territorial sea and internal waters of another nation.

#### B.10. Jurisdiction types

There are primarily three types of jurisdictions:

- Jurisdiction over vessels without nationality.
- Jurisdiction over vessels assimilated to a vessel without nationality.
- Jurisdiction over foreign vessels.

## B.10.a. Jurisdiction over vessels without nationality

Vessels without nationality are subject to your jurisdiction and may be boarded and seized everywhere except in foreign territorial waters. The exception is that a foreign country <u>may</u> consent to law enforcement action over a vessel without nationality in its waters.

# B.10.b. Jurisdiction over vessels assimilated to a vessel without nationality

The same rules that apply to vessels without nationality apply here.

#### B.10.c. Jurisdiction over foreign vessels

Depending on their location and activity, foreign vessels may be subject to your jurisdiction, however, foreign warships and foreign government-owned, non-commercial vessels are exempt from your jurisdiction.

## B.10.c.1. Foreign vessels in your internal waters

Foreign vessels in your internal waters are subject to your jurisdiction, however, foreign vessels in your internal waters because of force majeure are exempt from your jurisdiction.

## B.10.c.2. Foreign vessels in your territorial sea

Foreign vessels in your territorial sea are subject to laws applied by their specific terms. Exceptions to this rule include innocent passage, transit passage, assistance entry, peace of the port doctrine, and force majeure.

## B.10.c.3. Foreign vessels in your EEZ (0-200 nm)

Foreign vessels in the your EEZ are subject to your jurisdiction to prevent violations of fisheries laws and other laws designed to protect natural resources.



B.10.c.4. Foreign vessels on the high seas beyond your EEZ (beyond 200 NM)

Foreign vessels on the high seas outside your EEZ are not subject to your jurisdiction, with the exception of the following:

- Foreign vessels which violated your laws in waters over which your country has jurisdiction, but which have escaped, may be subject to your jurisdiction through the international law doctrines of hot pursuit and/or constructive presence.
- Foreign vessels on the high seas engaging in piracy, slave trade, or unauthorized radio or television broadcasting may be subject to your jurisdiction.
- Foreign vessels on the high seas may be subject to your limited jurisdiction under the international law doctrine of right of visit.
- Foreign vessels on the high seas may be subject to your jurisdiction under a "special arrangement" (the flag state consents to your jurisdiction).

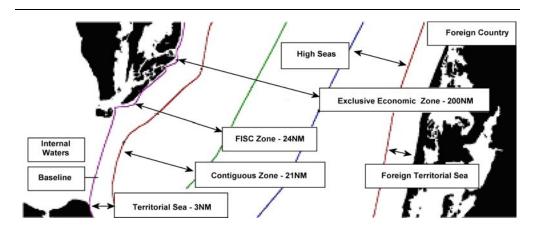
**NOTE**  $\Leftrightarrow$  The above four exceptions also apply in your contiguous zone and EEZ.

B.10.c.5. Foreign vessels in foreign territorial waters

Foreign vessels in foreign territorial waters are not subject to your jurisdiction, but may be subject to your jurisdiction if the foreign government whose waters are involved consents.

B.10.d. International waters

International waters include all waters seaward of the territorial sea, including EEZ, high seas, and contiguous zone (when claimed seaward of the territorial sea).





## **B.11. Persons** exempt from authority

Any foreign national whose diplomatic status is recognized by your country, and to whom immunity is granted, is exempt from your authority. Persons exempt from your authority will have one of the following:

- A diplomatic identification card (has a blue border).
- A consular identification card (has a red border).
- An official identification card (has a green border).

Information located on the back of the card will outline the person's immunity. A telephone number, also on the back of the card, can be used to assist in determining the status of the individual.

#### Chapter 2 – Maritime Security





#### Section C. Fisheries Law Enforcement

#### Introduction

The purpose of the Coast Guard's fisheries law enforcement program is to ensure compliance with federal fisheries laws, regulations and international agreements. Enforcement actions typically include ensuring compliance with federal regulations regarding catch limitations, gear restrictions, permits, closed areas, regulated seasons, and other management measures implemented by Regional Fisheries Management Councils (RFMCs) and Regional Fisheries Management Organizations (RFMOs). pertain to our domestic enforcement responsibilities whereas the RFMOs refer to international.

#### C.1. Mission

The fisheries law enforcement mission involves:

- Coast Guard enforcement of regulations written by another agency,
- enforcement priorities determined in consultation with other agencies, and
- violations adjudicated outside of the Coast Guard.

Because of these characteristics, it is essential that appropriate interagency relationships be developed to set priorities, coordinate efforts and ensure interagency consensus with respect to certain law enforcement actions.

C.l.a. Support from other agencies

The Coast Guard and the National Marine Fisheries Service (NMFS) have a long history of close cooperation and support. NMFS agents often participate in joint operations with Coast Guard units, embark Coast Guard units to provide specialized expertise in support of unusual or complex cases, and provide training to Coast Guard personnel. Likewise, NMFS agents receive training at Coast Guard Regional Fisheries Training Centers and Coast Guard personnel assist NMFS agents with inspections of shoreside facilities

### with states

C.1.b. Agreements Most states have fisheries management and enforcement programs that not only apply in state waters but may also address areas of concurrent jurisdiction and shared fish stock resources. U.S. law provides a mechanism for states to enter into agreements with NMFS and the Coast Guard for fisheries enforcement. Under these agreements, the Federal Government provides states with financial and materiel resources in exchange for the states enforcing federal fisheries regulations in the adjacent EEZ.



#### C.2. Goals

The goals of the U.S. Coast Guard's fisheries law enforcement program are as follows:

- Prevent illegal encroachment of the U.S. Exclusive Economic Zone (EEZ) and sovereign waters by foreign fishing vessels.
- Ensure compliance with domestic living marine resource laws and regulations.
- Ensure compliance with international living marine resource agreements.

# C.3. Protecting the U.S. Exclusive Economic Zone from foreign encroachment

The U.S. fisheries management authority extends out to the full 200-mile limit authorized by international law. The U.S. EEZ is the largest in the world, containing 3.4 million square miles of ocean and 95,000 miles of coastline. Twenty percent of the world's fish are contained in the U.S. EEZ. Foreign fishers operating illegally in this area are, effectively, stealing resources from the U.S., and our fisheries managers have no way of measuring or accounting for this loss. This inability to account for illegal, unreported and unregulated (IUU) fishing serves to exacerbate the already difficult job of effectively managing U.S. fish stocks to ensure sustainability.

## C.4. Enforcing domestic fisheries law

U.S. domestic fisheries support a \$50 billion industry. In order to ensure the sustainability of these fisheries, Fisheries Management Plans (FMPs) are developed by RFMCs. Each council has a non-voting Coast Guard member. FMPs are approved by the Secretary of Commerce then implemented via regulations codified in Title 50 CFR. The U.S. Coast Guard is responsible for enforcing these FMPs at sea, in conjunction with NMFS enforcement ashore. In addition to FMP enforcement, the U.S. Coast Guard enforces laws to ensure fishing vessel safety and protect marine mammals and endangered species.

## C.5. OCEAN GUARDIAN

OCEAN GUARDIAN is the Coast Guard's Fisheries Enforcement Strategic Plan, which provides for effective enforcement in support of national goals for fisheries resource management and conservation. OCEAN GUARDIAN establishes a comprehensive framework for fisheries law enforcement activity within the Coast Guard, including performance goals and objectives from which Area and District Commanders develop their operational plans. Refer to C.8.a of this section for reference information.



## C.5.a. Enforcement focus

OCEAN GUARDIAN calls for enforcement efforts to be focused on those violations most likely to have a significant impact on fisheries resources, or those that would place the violator at a substantial economic advantage over others who are in compliance. The Area or District Commander, in conjunction with the appropriate RFMC or other management authority, determines which violations fit these categories on a regional basis.

### C.5.b. Domestic fisheries concerns

Domestic fisheries concerns vary significantly by region and fishing activity, and are subject to change as fish stocks and harvesting practices change.



## C.6. Authority ashore

Since the NMFS is the lead agency for enforcement of fisheries laws ashore, Coast Guard personnel do not routinely perform this function. However, the Coast Guard may, if authorized by the Operational Commander, exercise limited fisheries authority ashore. Specifically, Coast Guard personnel may, at the request of NMFS:

- monitor catch off-loads and take law enforcement action for Magnuson-Stevens Fisheries Conservation and Management Act (MSFCMA) violations such as possession of a prohibited species, fish landed in excess of quotas, or landings made outside authorized landing periods; or
- provide backup for NMFS agents for shoreside patrols, monitoring catch off-loads, inspecting shoreside facilities, and participating in NMFS dockside boardings.



#### C.7. International fisheries agreements

Realizing that fish do not recognize national boundaries, the U.S. Coast Guard works closely with the Department of State to develop and enforce international fisheries agreements. Most notably, the U.S. Coast Guard enforces the United Nations Moratorium on Large-Scale Pelagic Drift Nets (UNGAR 46/215) in the North Pacific, where illegal drift-netters target U.S.-origin salmon. Refer to C.8.b of this section for reference information.

The U.S. has also entered into treaties and bilateral or multilateral agreements with foreign governments that establish cooperative fisheries conservation, management and enforcement policies. In some cases, the U.S. has entered into agreements that give U.S. fishers access to foreign EEZs (e.g., U.S./Russia Governing International Fishery Agreement, South Pacific Tuna Act). Specific fisheries treaties and agreements are addressed in Area Standard Operating Procedures (SOPs) and District Instructions.

#### **C.8. References** This section contains the following references:

C.8.a. Fisheries enforcement strategic plan (OCEAN GUARDIAN)	http://www.uscg.mil/hq/g-o/g-opl/mle/OceanG/OceanGuard.html  Provides access to an electronic copy of the OCEAN GUARDIAN strategic plan.			
C.8.b. International agreements concerning living marine resources of interest to NMFS	http://www.nmfs.noaa.gov/sfa/international/2002int%27lagrmts.  PDF  Provides access to an electronic conv. of the International			
	Provides access to an electronic copy of the International Agreements Concerning Living Marine Resources of Interest to NMFS.			



#### **Section D. Marine Protected Species**

#### Introduction

The nation's waterways and their ecosystems are vital to the U.S. economy and health. To enjoy a rich, diverse and sustainable ocean environment, it is vital to halt the degradation of our ocean's natural resources associated with maritime activities. The U.S. Coast Guard enforces and complies with protected species regulations, works with other agencies to develop appropriate regulations for marine protected species recovery, and publicize efforts to gain support and resources.

#### D.1. Mission

Provide the protection necessary to help marine protected species recover to healthy, sustainable levels.



#### **D.2.** Strategies

As outlined in the Ocean Steward Protected Living Marine Resources Strategic Plan, the U.S. Coast Guard has identified four strategies to execute its mission of protecting marine species, as follows:

- Raise the profile of the Marine Protected Species (MPS) mission.
- Obtain necessary resources and authorities.
- Partner with other agencies.
- Publicize our efforts



D.2.a. Raise the profile of the MPS mission

As evidence of a true commitment to protecting marine species, the U.S. Coast Guard strives to elevate the importance of the MPS mission to that of traditional U.S. Coast Guard missions such as maritime drug interdiction, marine pollution prevention, and fisheries enforcement.

D.2.b. Obtain necessary resources and authorities

Obtaining the necessary resources and invoking the appropriate authorities (regulations) is key to the success of any U.S. Coast Guard program. In support of Marine Protected Species program, the U.S. Coast Guard pledges to prioritize existing resources, use existing authorities, and seek additional resources and authorities as necessary. The major regulations governing this mission and providing guidance to the U.S. Coast Guard and other federal agencies with regard to their environmental responsibilities include:

- Endangered Species Act
- Marine Mammal Protection Act
- Oceans Act 2000
- Executive Order 13089

Refer to D.3 of this section for a general description of these Regulations and their availability.

D.2.c. Partner with other agencies

The U.S. Coast Guard strives to work closely with other agencies and organizations involved in the preservation and recovery of marine protected species to eliminate redundancy, and provide a clear link between enforcement and management. Although the U.S. Coast Guard partners with numerous federal and state agencies, the principal partners in the effort of executing this mission are the:

- National Oceanic and Atmospheric Agency (NOAA) Fisheries
- U.S. Fish & Wildlife Service (USFWS)

Refer to D.3 of this section for a general description of these federal agencies and an internet website address.



## D.2.d. Publicize our efforts

Highlighting our efforts and successes to the press and public at every opportunity is key to promoting our mission of maintaining healthy environments and protecting marine species.

#### **D.3. References** This section contains the following references:

D.3.a. Endangered Species Act	http://www.house.gov/resources/105cong/reports/105_c/esaidx.htm			
	Provides access to an electronic copy of the Endangered Species Act, which provides for the conservation of endangered and threatened species of fish, wildlife, and plants.			
D.3.b. Marine Mammal Protection Act	http://laws.fws.gov/lawsdigest/marmam.html			
	Provides access to an electronic copy of the Marine Mammal Protection Act (MMPA) of 1972, which was passed by the U.S. Congress to protect the many mammals that live in the world's oceans.			
D.3.c. Oceans Act 2000	http://frwebgate.access.gpo.gov/cgi- bin/getdoc.cgi?dbname=106_cong_public_laws&docid=f:publ2 56.106			
	Provides access to an electronic copy of the Oceans Act 2000.			
D.3.d. Executive Order 13089	http://resource.lawlinks.com/Content/Legal_Research/Executive_ Orders/1998/environmental/executive_order_13089.htm			
	Provides access to an electronic copy of Executive Order 13089, Coral Reef Protection, which was implemented by President Clinton to preserve and protect the biodiversity, health, heritage, and social and economic value of U.S. coral reef ecosystems and the marine environment.			
D.3.e. National Oceanic and Atmospheric Agency	http://www.noaa.gov/			
(NOAA)	Provides access to the website for the National Oceanic and Atmospheric Agency (NOAA), a U.S. federal agency formed to observe, predict and protect our environment.			



D.3.f.	U.S.	Fish	&	Wildlife
Servic	e (US	SFWS	S)	

#### http://www.fws.gov/

Provides access to the website for the U.S. Fish & Wildlife Service (USFWS), a U.S. agency dedicated to the protection and management of a vast array of wildlife.



#### **Section E. Drug Interdiction**

#### Introduction

The U. S. Coast Guard is the lead federal agency for maritime drug interdiction and shares lead responsibility for air interdiction with the U.S. Customs Service. The Coast Guard's mission is to reduce the supply of drugs from the source by denying smugglers the use of air and maritime routes in the transit zone, a six million square mile area, including the Caribbean, Gulf of Mexico and Eastern Pacific. In meeting the challenge of patrolling this vast area, the U.S. Coast Guard coordinates closely with other federal agencies and countries within the region to disrupt and deter the flow of illegal drugs.

#### In this section

This section contains the following information:

Mission Areas	See Page
Counterdrug Operations	2-34
Patrol Tactics	2-36
Collecting Intelligence	2-41
Operations Plans / Orders	2-47



#### **Counterdrug Operations**

## E.1. International cooperation

International cooperation is essential for success in the counterdrug mission. The formal cooperation established through bilateral and regional agreements greatly facilitates the law enforcement actions necessary to stop vessels suspected of being engaged in drug trafficking, which attempt to evade apprehension by escaping into another nation's territorial seas.

## E.2. Interagency cooperation

Interagency cooperation for counterdrug operations is essential in order to be successful and make the most effective and efficient use of available resources. Counterdrug initiatives by various law enforcement agencies are complicated by such factors as organizational missions, differing regional boundaries, and often, interagency mistrust. There are also structural and philosophical differences between the military and civilian law enforcement organizations. Memorandums of agreements (MOAs) or memorandums of understanding (MOUs) should be established to facilitate interactions.

## E.3. National counterdrug strategy

National counterdrug strategy and directives are essential to properly focus the efforts of all agencies. They require cooperation among the various agencies involved in the counterdrug efforts, which should include a formal coordinating process for the timely exchange of information. Using these high level documents as a base, services and agencies with a counterdrug mission should develop doctrine or campaign plans to provide guidance to operational planners. Furthermore, service or agency doctrines or campaign plans are developed to provide guidance to operational planners. Doctrines and/or campaign plans establish goals and priorities as well as provide general guidance on where field commanders should focus their efforts, thus allowing commanders to make decision on the use of available assets that are in keeping with service and national direction.

#### E.4. Planning

Planning efforts are crucial to successful missions. A comprehensive planning effort is necessary to achieve any level of effectiveness. Planning should be joint, multinational, and interagency. Unity of effort, simplicity, and priorities are integral to the planning process. Planners must understand the goals and the threat. In developing the mission, they must integrate intelligence, air and surface resources, logistics, communications, as well as key aspects of interagency and international cooperation. Planning must be done at the strategic (national) level and at the operational/tactical level, factoring in the national strategy and service doctrine.



### E.5. Maritime interdiction

Maritime interdiction efforts focus principally on deterring drug smuggling by collecting intelligence, monitoring maritime smuggling routes, detecting and seizing drug smuggling vessels, and arresting their crews.

## E.6. Detection and monitoring

Detection and monitoring is a crucial part of the overall drug interdiction process. The goal of detection and monitoring is to provide early notification and to track aerial and surface targets until appropriate law enforcement agencies can arrive on scene and conduct an investigation.

## E.7. Intelligence

Collecting, fusing, producing, and disseminating drug intelligence is critical to the success of counterdrug efforts. The use of all sources of intelligence provides a basis for narrowing the focus of the huge area involved in the counterdrug mission.

### E.8. Command and control

The command and control (C2) process enables effective coordination across agency and national boundaries. It requires a 7-day per week, 24-hour per day central C2 node within each agency to keep the flow of information and action requests moving vertically within the agency and horizontally to others. The usual C2 node is a command or operations center manned with experienced personnel fully capable of processing information and initiating actions as required to prosecute cases.





#### **Patrol Tactics**

### E.9. Planning tactics

Success in apprehending drug smugglers is an active process. It involves understanding the routes smugglers are using, how they conceal their contraband, and what tactics they employ to avoid being detected (such as low profile boats).

- Commanders must be familiar with their area of operation.
- They must have good information on smuggler operating trends.
- They must be creative trying new tactics to keep the smugglers guessing.
- They must employ deception and operational security.
- They must coordinate their efforts with other law enforcement assets in the vicinity.

### E.10. Surface tactics

Overt tactics are normally used in alien/migrant interdiction operations (AMIO) while covert operations are normally used in counter narcotics operations. The following types of surface tactics are discussed below:

- Mobility
- Steady Pace
- Hi/Low Speed
- Sprint and Drift
- Day/Night

#### E.10.a. Mobility

The mobility tactic involves continuous, unpredictable movement by the patrol unit, which increases the surface area under surveillance.

### E.10.b. Steady pace

The steady pace tactic conserves fuel and maximizes sensor effectiveness. Drawbacks include increased predictability and loss of the element of surprise.

## E.10.c. Hi/low speed

The hi/low speed tactic occurs when a unit patrols at economical speed for a designated length of time then transits rapidly to a different patrol area and returns to patrolling at an economical speed. The benefit is an increased tactical surprise and unpredictability.



### E.10.d. Sprint and drift

Sprint and drift tactic occurs when a unit drifts for 30 to 60 minutes, then uses high speed to transit to a different area and drift again. This allows thorough surveillance of a harbor entrance, choke point or other confined area.

## E.10.e. Day/night

Day/night tactic occurs when unit patrols in one area during the day and move to a different area at night. This increases the element of surprise.

#### E.11. Multiunit tactics

Definitions for the following types of multi-unit tactics are provided below:

- Separation Between Units
- Control Ship/Pouncer

## E.11.a. Separation between units

To maximize efficiency, patrolling units must be far enough so that spheres of surveillance do not overlap.

## E.11.b. Control ship/pouncer

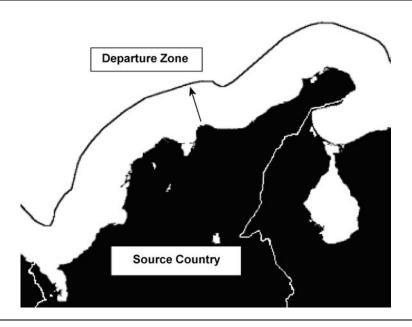
The control ship/pouncer tactic is used when two or more ships are working together. The large ship (control) acts as a forward deployed sensor and determines which target of interest (TOI) should be intercepted by the smaller, faster boat (pouncer).

## E.12. Departure zone

The departure zone, depicted on the following page, is the coastal region of a source country or trans-shipment point where drug smuggling or alien migrant voyages originate. In general, the departure zone extends from the baseline of the source nation to approximately 50 nautical miles (NM) offshore. The type of operations conducted in departure zones hinge upon the level of cooperation between foreign interdiction forces and the source nation.

Visible presence operations, also known as deterrence, are designed to dissuade smugglers or migrants from departing their home nation. Visible presence operations are almost exclusively used in alien/migrant interdiction operations (AMIO).





### E.13. Transit zone

The transit zone is the geographic area through which cocaine is smuggled to the United States from countries in South America. The transit zone is six million square miles and the Coast Guard deploys units to intercept smugglers in the open ocean and at strategic choke points.

### E.13.a. Open ocean

In general, employ LEUs that are high endurance and possess greater detection capabilities closest to the departure point of the target vessel. Behind it at various points along the threat axis station smaller and faster surface units. The principle is to detect a target using the more capable LEU's sensors or embarked helicopter, and monitor while performing intercept by the closest available surface asset.

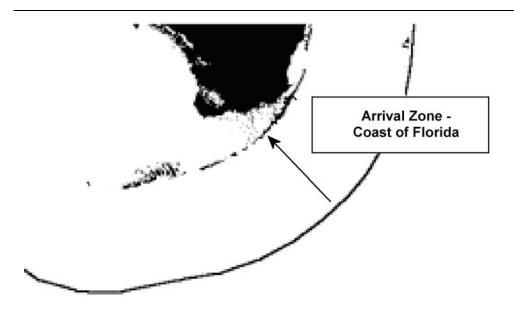
## E.13.b. Choke points

Choke points can be used to great advantage by interdiction forces because they are confined areas through which the smuggling vessels must transit.



### E.14. Arrival zone

An important factor in planning and executing arrival zone operations is the cooperation given by the nation where the drugs or migrants are destined. The following is a depiction of an arrival zone.



## E.15. Patrol patterns

The type of patrol pattern employed in the departure zone depends on the available resources, the known threat, and the size of the departure area. Patrol pattern types include:

- barrier,
- parallel, and
- zigzag.

#### E.16. Tactics

Law enforcement units (LEUs), both surface vessels and aircraft, utilize various standard tactics while on patrol. The tactics employed may change based upon updates in intelligence reports and visual sightings. Some of the tactics employed are:

- Placement of boxes
- Remaining mobile
- Communications
- Establishing buffer zones
- Intercept and turn-back

E.16.a. Placement Location of boxes should correspond to the estimated dimensions of the of boxes departure zone, and should cover all departure areas.

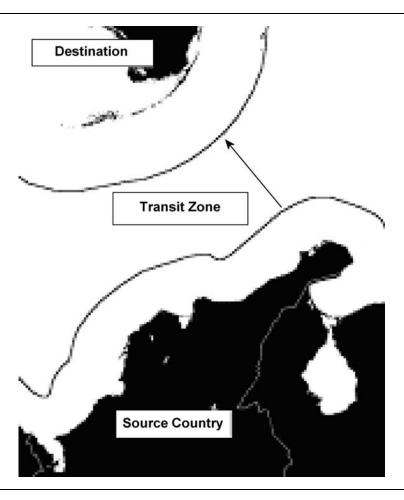


E.16.b. Remaining mobile By remaining mobile and moving randomly and regularly throughout the larger patrol area, the LEU can cover greater ground and respond to aircraft sightings or fresh intelligence information.

E.16.c. Communication

Communications is the weak link of many operations. All units should operate on pre-arranged frequencies that have been tested.

E.16.d. Buffering (buffer zone) The ultimate goal of drug interdiction is to seize or destroy the contraband. If drug smugglers are intercepted immediately after leaving the territorial water of the source nation, they may simply turn around and re-enter the nation's waters, avoiding boarding and seizure and awaiting another opportunity to move the contraband. This is why a buffer zone should be placed.





#### **Collecting Intelligence**

## E.17. Description

Collecting intelligence is the acquisition of intelligence information through overt and/or clandestine means.

## E.18. Information need

Information need is the requirement of a decision-maker or commander for the best available information or intelligence upon which to make decisions, policy recommendations, or intelligence production.

## E.19. Intelligence need

Intelligence need is any subject, general or specific, for which there is a need for the collection of intelligence information, or the production of intelligence

### E.20. Methods of collection

There are essentially two methods of collecting intelligence. They are:

- overt collection and
- clandestine collection

## E.20.a. Overt collection

Overt collection is acquisition of intelligence information from the media, government-to-government dialogue, elicitation, and the sharing of data openly acquired. Host and target governments are normally aware of the general collection activity, though specifics, sites, and processes may be successfully concealed. Overt collection is the source of most intelligence information and is the predominate type of intelligence collection by the Coast Guard.

Example: Photographs from the rail of a cutter.

## E.20.b. Clandestine collection

Clandestine collection is acquisition of intelligence information in ways designed to ensure the secrecy of the operation, and therefore, protection of sources and methods are extremely important.

Example: Undercover intelligence collection.



## E.21. Covert activity

A covert activity, also referred to as a special activity, is an operation designed to influence foreign governments, events, organizations, or persons in support of U.S. foreign policy, and therefore, is not really an intelligence collection activity. It is generally grouped with intelligence operations because the same types of organizations (e.g., intelligence collectors) are often involved.

Example: Psychological operations and propaganda.

## E.22. Types of intelligence

The following are types of intelligence:

- Human
- Imagery
- Signals
- Communications
- Electronics
- Measurement and Signature

## E.22.a. Human intelligence

Human intelligence is intelligence information acquired by human sources through overt and clandestine collection techniques and open-source data from foreign media.

#### Examples:

- Interview of suspected narcotics traffickers.
- Foreign Broadcast Information Service (FBIS).
- DOD Attaché reports on port activity.

## E.22.b. Imagery intelligence

Imagery intelligence is locating, recognizing, identifying, and describing objects, activities, and terrain represented on imagery and includes photographic interpretation.

#### Examples:

- Photographs taken from aircraft.
- Photographs taken from ships or land.
- Satellite photographs and imagery.



## E.22.c. Signals intelligence (SIGINT)

Signals intelligence (SIGINT) is intelligence information from the interception of communications intelligence, electronic intelligence, and foreign instrumentation signals intelligence, however transmitted. It requires strict protection of sources and methods.

#### E.22.d. Communications intelligence (COMINT)

Communications intelligence is technical and intelligence information derived from intercept of foreign communications by other than the intended recipients.

#### Examples:

- Wiretap of phone lines.
- Parabolic microphones.

#### E.22.e. Electronics intelligence (ELINT)

Electronics intelligence (ELINT) is technical and operational intelligence derived from foreign noncommunication electromagnetic radiations emanating from other than atomic detonation or radioactive sources.

#### E.22.f. Measurement and signature intelligence (MASINT)

Measurement and signature intelligence (MASINT) uses radar, acoustic, nuclear radiation, electro-optic, infrared, and other sensor devices to record and identify the unique thermal, magnetic, and acoustic emission characteristics of a particular platform. It identifies the platform with a "signature" by measuring those characteristics that can be recorded, and is very scientific and esoteric in type.

#### Examples:

- Electronic signature of a Slombovian submarine collected by sonar.
- Soil samples measured for radiation content.

## E.23. Intelligence products

These products contain information that, if it is not acted upon in a timely fashion, may be useless. These include:

- Vessel Sighting Report
- Spot Report
- Maritime Activity Report
- Vessel Summary Lookout Report
- Suspect Vessel Lookout Report
- Field Intelligence Report



E.23.a. Estimative intelligence products

Estimative intelligence products generally hypothesize on trends based on raw intelligence. These include the Suspect Vessel Lookout Report. All personnel involved in an operation, from the communications watchstander to the officer in tactical command must know how to read and interpret intelligence products. Some products give explicit instructions on intelligence targets, while others identify trends and give suggestions for use in operations. With an understanding of the purpose of each intelligence product, the necessary information for the operation can be obtained.

E.23.b. Vessel sighting report

Units underway in the area of responsibility (AOR) should report the position, course, speed and any other information the officer in tactical command (OTC) directs. This information is contained in the Vessel Sighting Report. Vessel sighting reports should be transmitted at an appropriate interval based on the tactical requirements of the OTC. In some instances, this may be an immediate report, and in others, it may be done after the unit returns to port. (see **Figure 2-1**)

E.23.c. Spot report

A Spot Report can be generated by any person, unit, or agency that observes or learns of information that may affect the safety of law enforcement personnel or provides a specific piece of intelligence. (see **Figure 2-2**)

E.23.d. Maritime activity report

The Maritime Activity Report is released periodically, usually once a month. It describes commercial maritime drug-smuggling activity and significant intelligence in one comprehensive product, and provides a limited analysis of significant trafficking trends.

E.23.e. Vessel summary lookout report

The Vessel Summary Lookout Report is a list of suspect vessels. It works like a "wanted" list for vessels. Vessels are separated into categories with each category carrying specific instructions for a unit to take if the vessel is sighted.

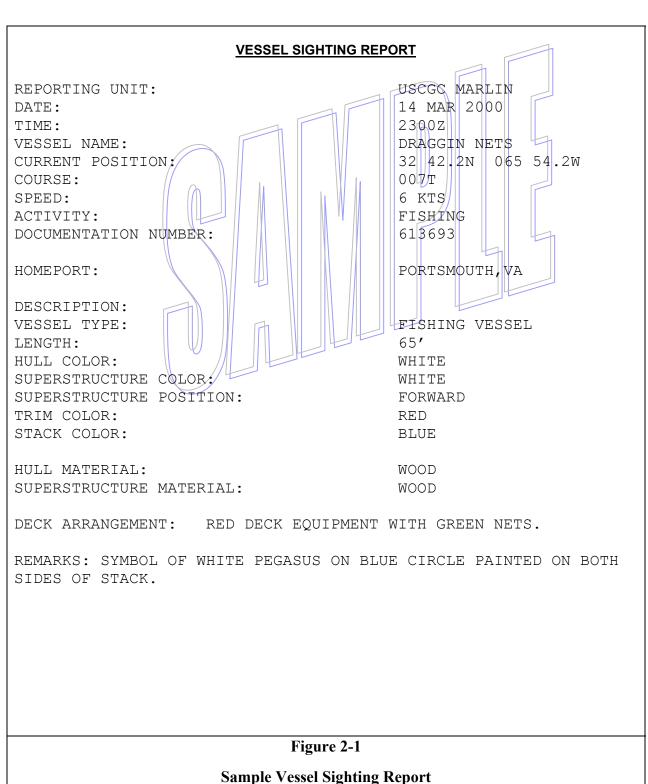
E.23.f. Suspect vessel lookout report

Information contained in the Suspect Vessel Lookout Report reflects current criminal investigations and sensitive sources of information. It provides specific information on vessels listed on the vessel summary lookout report.

E.23.g. Field intelligence report

The Field Intelligence Report is used by field units to provide information of law enforcement value. This information is obtained during the course of normal duties to their operational commanders.





Sample vessel Signting Kepor



#### **SPOT REPORT**

O 042253Z JAN 00

FM CCGDEIGHT NEW ORLEANS LA//OLE//

TO COMLANTAREA COGARD PORTSMOUTH VA//AI//

INFO COMDT COGARD WASHINGTON DC//G-OCI//

ВТ

UNCLAS FOUO//N03800//

SUBJ: SPOT REPORT - F/V CATCH A LOT (DOC. NR. 50477023)

- 1. THE FISHING VESSEL (F/V) "CATCH A LOT" IS CURRENTLY ENROUTE TO EL PASO, TX AFTER FISHING FOR THE LAST 90 DAYS OFF THE COASTS OF FLORIDA AND LOUISIANA. THE VESSEL IS ALLEGEDLY LOADED WITH NARCOTICS, UNKNOWN TYPE/AMOUNT. F/V "CATCH A LOT" IS A 85.6 FT LONG WOODEN HULL FISHING VESSEL HOMEPORTED OUT OF BROWNSVILLE, TX AND WAS BUILT IN MOBILE, AL IN 1976. THE SUBJECT VESSEL IS OWNED BY IMA TUNA (ADDRESS 101 HOT DOG ROAD, ORLANDO, FL 36409), WHO HAS LONG BEEN SUSPECTED OF CONDUCTING DRUG SMUGGLING OPERATIONS INTO THE TEXAS COAST. PERSONS SUSPECTED OF INVOLVEMENT IN THE DISTRIBUTION OF NARCOTICS IN THE EL PASO AREA ARE ALLEGEDLY AWAITING THE ARRIVAL OF SUBJ VESSEL.
- 2. ALL UNITS IN THE GROUP CORPUS CHRISTIE AND GROUP GALVESTON AORS SHOULD BE ON THE LOOKOUT FOR SUBJ VESSEL AND BOARD IF LOCATED.
- 3. POC: RDC TOP COP, INTELLIGENCE OFFICER, (504) 548-0984.

BT

#### Figure 2-2

#### **Sample Spot Report**



#### **Operations Plans / Orders**

## E.24. Organization

The purpose of an Operations Plan (OPLAN) or Operations Order (OPORD) is to organize all operational information into one usable document for all participating units. (See **Figure 2-3** for a sample plan.) The OPLAN should include all essential information pertaining to the mission and include, but not be limited to:

- Objective
- Security
- Reports
  - Position
  - Sighting Reports
  - Casualty Reports
  - After Action Reports
- Concept of Operations
  - Tasking
- Assets
- Communications
  - Procedures
  - Task Organization
  - Frequency Plan
  - Call Signs
- Intelligence
- Logistics and Administration

An OPLAN should be assembled with a cover page and protected according to its classification level.

#### E.25. Objective

Briefly describes the general picture, so that subordinate commanders will understand the current situation.

Example: The objective of Operation Greenwave is to locate the Slombovian S/V Capricorn which should arrive in our southern waters within 6 days, covertly surveil it as it makes contact with pick-up boats, seize each pick-up boat and occupants, and then seize the Capricorn just before it departs our waters after its last drop.

#### E.26. Security

The security section deals with how the OPLAN will be protected against compromise. This section will include the security classification of the operation.



#### E.27. Reports

Operational reports can either be verbal or written as follows:

- Verbal Reports: Generally used when the information must be passed quickly, or the unit passing the information does not have the manpower or equipment to forward a printed document. Depending on the nature of the information, it may be necessary to make a written report later of information originally passed verbally.
- Written Reports: Generally not as time critical as verbal reports, but are used when there is much information and it is critical that this data be passed accurately. These reports are also used to analyze the operations, determine smuggling trends, identify normal routine maritime activity, and promulgate lessons learned.

Operational reports provide information from on-scene to the operations center and higher authority. This information is used in command and control functions as well as future planning. For extended operations, the operations center may generate situation reports to higher authority. At the conclusion of the operation, the officer in tactical command combines all statistics for evaluation as a tool in planning future operations. Operational reports include:

- Situation Reports
- Casualty Reports
- After Action Reports
- Position Reports

## E.27.a. Situation reports (SITREP)

Situation Reports are made by the on-scene units to higher authority to provide a clear picture of what is occurring. Speed of transmission and updates are critical for supporting informed command decisions.

## E.27.b. Casualty reports (CASREP)

Casualty Reports are made by units to advise the operational commander of equipment failures or degradation that may materially affect the unit's ability to perform its missions.

## E.27.c. After action reports (AAR)

After Action Reports are comprehensive summaries written upon the conclusion of the mission. These reports include a narrative of what happened, which units were involved, and supporting statistics. The report should include such information as:

- List of unit operation hours.
- Number of boardings per unit.
- Number of violations.
- Date vessels last boarded.
- Intelligence accuracy.



- Communications problems and dead spots.
- Recommendations for future operations.

## E.27.d. Position reports (PR)

Position Reports are normally verbal, but can be followed by written report. They consist of the unit's position, course, and speed. Employment status is normally passed as well.

## E.28. Concept of operations

The concept of operations describes, in brief, how the commander visualizes the execution of the operation from start to completion. It accurately conveys the commander's intent to subordinates so that mission accomplishment is possible in the time available and in the absence of additional communications or further instructions. The concept should set forth the phases of the operation, schemes of maneuver for major subordinate units that describe precisely what the commander expects to be done, and the general plans for employment of all units.

Following the concept of operations, subsequent sections assign specific tasks to each unit of the task organization charged with execution of operations to accomplish the concept of operations.

#### E.29. Assets

The location, readiness status, capabilities and endurance of all assets available to the operations center are listed to enable the senior and assistant watch officers to select the appropriate resource for a task.

### E.30. Communications

Information about pertinent command, control, and communications nets; operating procedures; and recognition and identification procedures, electronic emission constraints, etc. are listed here. This section also contains the radio frequencies to be used, codes, daily changes to the codes, and back-up frequencies if needed. Communications plans should include pre-designated radio frequencies and channels, which change daily at midnight or at another pre-designated time. If a communications check is conducted every 4 hours and communications are not established, the plan to reestablish communications will be included in this section of the OPLAN. Call signs for participating units are essential when using communications to avoid transmitting a unit's identity. Call signs also change daily, usually at midnight or at the radio day.



## E.31. Intelligence

The purpose of an intelligence plan is to develop the physical and human resources necessary to support operations. All methods of gathering intelligence are listed, as well as informant code names, locations and reporting procedures. Any other intelligence products are listed here along with their function. This section may require a higher classification than the rest of the OPLAN and may need to be developed as a separate document.

## E.32. Logistics and administration

The administrative and logistics arrangements applicable to the operation are sufficiently stated in this section so as to make clear the basic concept for logistics support. The overall operation, from the service and maintenance, transportation, construction, and allocation of labor for logistics purposes, is summarized. Plans and policies for hospitalization and evacuation of military and civilian personnel, unit strengths, replacements, and personnel policies and procedures may also be listed. In most cases, this section will refer to administration and logistics policies and procedures in an existing plan as amended by the operations order (OPORD). The plan should include sources where items for vessel operations can be obtained after normal hours, on holidays, and in emergencies. The logistics plan should also take into account adverse or abnormal weather impacts on the operation.

## E.33. Logistical security

Any action out of the routine will alert the bad guys that an operation is in progress. Every effort should be made to keep units from becoming routine in their methods of conducting business.



## CONFIDENTIAL

FOR TRAINING USE ONLY

THIS IS A COVER SHEET

FOR CLASSIFIED INFORMATION

ALL INDIVIDUALS HANDLING THIS INFORMATION ARE REQUIRED TO PROTECT IT FROM UNAUTHORIZED DISCLOSURE IN THE INTEREST OF THE NATIONAL SECURTY OF THE UNITED STATES.

HANDLING, STORAGE, REPRODUCTION AND DISPOSITION OF THE ATTACHED DOCUMENT MUST BE IN ACCORDANCE WITH APPLICABLE EXECUTIVE ORDER(S), STATUE(S) AND AGENCY IMPLEMENTING REGULATIONS.

OPERATION IMOC

FOR TRAINING USE ONLY

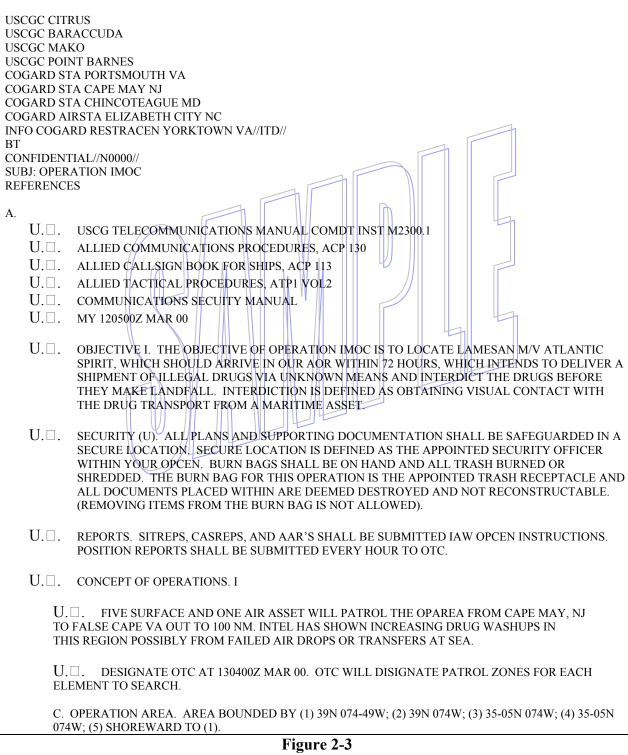
(THIS COVER SHEET IS UNCLASSIFIED)

CONFIDENTIAL

Figure 2-3

Sample Operations Plan (OPLAN) (sheet 1 of 4)





#### Sample Operations Plan (OPLAN) (sheet 2 of 4)



								770
U.□.	ASSETS	S I.						
U.□.	.□. CGC CITRUS (WLB 300)							
U.□.								
U.□.								
U.□.								
U.□.			HICOTEAGUE)					
U.□.		*	ORTSMOUTH)					
U.□.		*	APE MAY)					
U.□.		`	ELIZABETH CITY)					
U.□.			RVATION TOWERS (2)					
	OMMUNIC		, ,					
0.0.	ZIVIIVI OT VIC	7 <b>1110</b> 11 <b>0</b> .						
U.□. co	OMMUNIC	CATIONS	PROCEDURES.					
	$U.\square$ .	ALL CO	MMUNICATIONS WILL B	E IAW REI	F (B) TH	OURGH (I	F).	
	$U.\square$ .	OTC WI	LL ESTABLISH COMMUN	ICATIONS	WITH A	LL UNIT	S ON AN	HOURLY
	BASIS.	<b>.</b>						
		U.□.	COMMUNICATIONS WIL					
		U.□.	AFTER 3 FAILED ATTEM JNICATIONS ON ANY FRE					H
			DARY OR TERTIARY FRE				F1 10	
			IAW REF (G) BENCHMAI	-			USED WE	IEN PASSING
		POSITIO	ON INFORMATION TO OTO	C IN UNSE	CURE M	ODE.	0022 ***1	
		$U.\Box$ . ICO SUSPECTED COMMUNICATIONS SECURITY COMPROMISE, CALL SIGNS						
	AND FREQUENCIES FOR FOLLOWING DAY ARE EFFECTIVE UPON NOTIFICATION FROM OTC.							
$U.\square$ . STUIII WILL BE USED IN CONJUNTION WITH FACSIMILE AND MOBILE PHONE								
	COMMU	UNICATIO	ONS.					
II	arr on a .							
	ASK ORGA NMENT	UNIT	DN.		ICS		VCS	
CTF 43		OIVII	USCGC CITRUS		NBMO		Wp3	=
CTG 43			USCGC BARRACUDA		NUSA		Wp6	
CTU 43			USCGC MAKO		NYQL		Wp3	
CTU 43			USCGC POINT BARNES		NZVE		Wp0	
TE 46.6			CG 41449				Wp4p9	
TE 46.6			CG 41499				Wp9p9	)
	46.6.2.1 CG 41249 Wp2p4p9 46.6.2.2 CG 2125 Wp2p5			9				
	EQUENC	Y PLAN	-			. r -r-		
			WILL BE UTILIZED FOR T	HIS OPER	ATION			
		0	1	2		3		4
PRIMARY	VHF	CH 21A	CH 22A	CH 23A		CH 71A		CH 72A
SECONDARY TERTIARY	HF 4327.1 4588.5 3955.5 3845.0 4985.0 UHF 6580.0 8621.2 13105.5 15505.5 12151.0							
IERTIAKI	OH	0.00.0	0021,2	1.001.5		15505.5		121J1.V
		5	6	7		8		9
Figure 2-3								
		Samn	le Operations Plan (	OPLAN	) (shee	t 3 of 4)		

Sample Operations Plan (OPLAN) (sheet 3 of 4)



PRIMARY	VHF	CH 22A	CH 23A	CH 21A	CH 72A	CH 71A
SECONDARY	HF	3327.2	3588.6	4955.6	4845.1	3985.1
TERTIARY	UHF	12580.0	12521.2	6105.5	9505.5	6151.0
U.□. CA	LL SIGN	NS	_1 [			
			DEALL SIGNS W	TH UNSECURE C	OMMUNICATIONS	
					DGE-TO-BRIDGE	
COMMUNICATI	ONS.					
UNIT	0 /	/ 1 \ 2	3 4	5 6	7 8	9
CITRUS	B1P	A0R G3Z	C4T P8N	E4F M1A	T6D E1M	Y1G
BARRACUDA	A0R	G3Z C4T	P8N E4F	MIA T6D	EIM YIG	A9M
MAKO	G3Z	C4T P8N	E4F M1A	T6D E1M	YIG A9M	K9C
PT BARNES	C4T	P8N E4F	M1A T6D	EIM YIG	A9M K9C	O1S
CG 41449 CG 41499	P8N K9C	E4F M1A G3Z C4T	T6D E1M P8N E4F	Y1G A9M M1A T6D	K9C OIS EIM YIG	E1D A9M
CG 41499 CG 41249	A9M	A0R G3Z	C4T P8N	E4F M1A	T6D E1M	Y1G
CG 2125	O1S	C4T P8N		T6D E1M	Y1G A9M	K9C
OBS TOWER1	Y1G	B1P A0R	G3Z C4T	P8N E4F	M1A T6D	E1M
OBS TOWER2	E4F	MIA T6D	EIM YIG	A9M K9C		P8N
		-   \\       _	1.			
$U.\Box$ . in	ΓELLIGI	ENCE.	ال ۱۱۱۱ ۱۱۱۱ ۱۱۱۱			
		1AR 00 AND P 03	205Z MAR 00.			
	\\					
U.□. lo	GISTIC	s. //4				
<b>U</b> .□.			ARE LIMITED TO	8 HOURS U/W W	ITH REQUIRED TW	/O HOUR
	DC	OWN TIME BETW	EEN SORTIES.	o no cho cho chi vi	IIII IEQUIED I W	Onoon
U.□.	AL	L AIR ASSETS A	RE LIMITED TO A	MAXIMUM OF 12	2 FLIGHT HOURS P	ER DAY.
	AN	MANDANTORY R	EST PERIOD OF 1	0 HOURS AFTER	8 HOURS ALOFT IS	REQUIRED THE
	NE	XT TIME A/C IS	ON DECK.			
U.□.	CG	C CITRUS IS CA	PABLE OF REFUE	LING AND RESUR	PLYING ALL MAR	ITIME ASSETS
0.0.	00	ic critics is cri	TIBLE OF REFOR	Envolue Resor	TETH OTHER WITH	THAIL HOOL TO.
U.□.	ΑĪ	I 41' HTD ADE D	ESTRICTED TO W	/ITHIN 30 NM OF	THE COAST	
0	AL	L 41 UID AKE N	ESTRICTED TO W	TITHIN 30 NWI OF	THE COAST.	
U.□.	OD	CEDVATION DO	NITC ADE CONCIE	NEDED TO DE MAI	NNED 24 HOURS A	DAV
∪.⊔.	OB	SERVATION POI	N 13 AKE CONSIL	EKED IO DE MAI	NNED 24 HOURS A	DAI.
U.□.	00		WO DEDI OVADI	E CMALL DO ATC	GEE AGGET WORK	GHEET FOR CREGO
∪.⊔.	CG	C CITRUS HAS I	WO DEPLOYABL	E SMALLBOATS (	SEE ASSET WORK	SHEET FOR SPECS).
TI 🖂		I TUDEE DATES	I DOATCHARE	OBJOLE DEDICA	ADIE OMATERO:	T (OPE AGET
U.□.				SINGLE DEPLOY	ABLE SMALLBOA	T. (SEE ASSET
	W	ORKSHEET FOR S	SPECS.)			
TI 🗆	4.7	I CHITTED CLASS	I DO ATO MIOT P	TAAANI WATTI T	ADIO DANCE (12	IM OF THEIR
$U.\Box$ .					RADIO RANGE (15N OURS FOLLOWED	
						AND BOARDINGS.
BT	DC	MING DATEIGH	I ONLI. MAI OF	LI DE LAUNCHE	D FOR INTERCEFT	AND DOMNDINGS.
NNNN						
			Figur	e 2-3		
			5"	- · <del>-</del>		
		Sample Or	erations Plan	(OPLAN) (she	eet 4 of 4)	
		1 - 1		, , , ,	,	



#### Section F. Migrant Interdiction

#### Introduction

The United States is a nation built on the strength of immigration. Legal immigration strengthens the foundations of our nation and adds to our national heritage. Illegal immigration, however, can adversely affect regional economies, disregards the rule of law, and can lead to unacceptable conditions of human suffering. The right to define and control our national borders is a fundamental tenet of our national sovereignty. The nation's immigration laws and policies create an orderly process for the review and acceptance of prospective immigrants. The Coast Guard, working in concert with the Immigration and Naturalization Service (INS), U.S. Border Patrol (USBP), and other agencies, is responsible at sea for enforcing these laws, carrying out these policies, and controlling U.S. maritime borders.

Fundamental changes in the world economic, social, and political situation will be required to reduce migratory pressures. Until that time, creating effective barriers to illegal entry by undocumented migrants supports the national policy objective of orderly, safe, and lawful immigration. The Coast Guard, as the lead agency for enforcement of U.S. immigration laws and policies at sea, is a highly effective deterrent force whose efforts will have substantially reduced the flow of undocumented migrants to the U.S. via maritime routes and means. The Coast Guard's unique combination of maritime law enforcement expertise, multi-mission maritime assets, presence in the coastal areas, maritime search and rescue skills, and legal authority makes it the most appropriate federal agency to execute this mission at sea.

#### F.1. Humanitarian efforts

The unique hardships of the maritime environment and the high percentage of migrants using unseaworthy vessels create a strong humanitarian component of the alien/migrant interdiction operation (AMIO) mission. Migrants typically take great risks and endure significant hardships in their attempts to flee their home countries and travel to the United States. In many cases, migrant vessels interdicted at sea are overloaded, unseaworthy, unsanitary, lacking basic safety equipment, and often operated by inexperienced sailors. When encountering such unsafe conditions at sea, the Coast Guard has a duty to render immediate humanitarian aid first, and resolve issues of immigration status and disposition later.



#### F.2. Responding to illegal activities

In addition to the humanitarian dimension of AMIO operations, the large volume of people and goods moving across international borders has given rise to criminal networks that traffic in illegal aliens and other criminal activities, including terrorism. The Coast Guard, therefore, will continue to encounter various types of lawbreakers in the course of carrying out the AMIO mission. To respond to this criminal threat, Maritime Domain Awareness (MDA), or knowledge of who and what is entering the country well before it arrives, is essential. Further, the Coast Guard will be called upon to identify and respond to situations that ostensibly involve migrants or migrant smuggling but instead involve terrorism or violations of other laws.

## F.3. Regional cooperation

Ultimate success in reducing illegal migration is dependent on effective cooperative regional engagement. As a maritime agency with regulatory expertise, law enforcement experience, and military capability, the Coast Guard is uniquely positioned to partner with maritime countries of origin and transit, and is a key participant in developing and maintaining working relationships to enhance prevention and interdiction efforts.

## F.4. Overall threat

Migration is driven by economic, political, and societal imbalances within and among nations. Demographers expect the world's population to increase by two billion persons in the next two decades with most growth expected in the developing countries. This uneven population growth will increase economic disparities, which, when combined with political instabilities, will increase migration pressures.

## F.4.a. Undocumented immigrants

Future demand for visas will continue to exceed the supply, resulting in an increasing number of undocumented migrants attempting to enter the United States. Undocumented migration frequently involves more than one mode of transportation (sea, air, or land) on the same journey to the United States. Over one-quarter of these journeys use maritime transport at some point. However, the number of migrants attempting to illegally migrate primarily by sea is a relatively small percentage of overall undocumented immigration to the United States. A disproportionate level of public policy attention is paid to this small flow due to:

- the high-risk nature of maritime transport,
- the high visibility of successful maritime illegal migration events, and
- the delicate nature of U.S. bilateral relations with the primary source countries for illegal migrants who predominantly use maritime transportation.



### F.4.b. Areas of concern

Maritime illegal migration threatens the United States from all points of the compass, including both coasts and Hawaii, as well as territories such as Guam, Puerto Rico, the Commonwealth of Northern Mariana Islands, and the U.S. Virgin Islands. In the past 20 years, well over a quarter of a million illegal migrants from over 43 nations have been interdicted prior to reaching these shores. Each nation should determine the primary migration routes into or out of their waters, and position interdiction assets accordingly.

## F.5. Legal immigration

The Coast Guard supports the national policy of orderly, safe, and legal migration, upholding U.S. immigration laws and international conventions against human smuggling:

- through effective maritime interdiction;
- by engaging partner nations, supporting their efforts to enhance their border control and maritime law enforcement capabilities;
- by educating, communicating, and cooperating with both governmental and non-governmental partner agencies and organizations; and
- by operating to uphold the human dignity of migrants and to ensure the safety of life at sea.

#### F.6. International legal framework

Both customary and conventional international law endows coastal states with sovereignty over their territorial seas and sovereign control in their contiguous zones with respect to certain activities. These include the authority to restrict access to their borders, and to regulate admission of aliens by establishing circumstances and conditions over who enters the nation. Accordingly, the United States has a right to refuse entry to any particular individual. Likewise, a nation seeking to repatriate undocumented migrants interdicted at sea must first obtain host nation authorization

## F.6.a. Responsibilities

Notwithstanding the sovereign authority States exercise over their borders and immigration laws, international law and customary practices dictate that States have a responsibility to prevent the return of persons to territories where their lives of freedom would be threatened on account of race, religion, nationality, membership in a particular social group, or political opinion. Article 33 of the 1951 United Nations Convention Relating to the Status of Refugees and its 1967 Protocol, to which more than 130 States are parties, codifies this principle of non-refoulement.



## F.6.b. Human rights

The United States has led and strongly supported the establishment of international human rights standards. Since World War II, the United States has signed several international human rights-related instruments that affect the conduct of the AMIO mission:

- The Universal Declaration of Human Rights.
- The 1984 Convention Against Torture and Other Cruel, Inhumane or Degrading Treatment or Punishment.
- The United Nations Convention Against Transnational Organized Crime, its Protocol Against the Smuggling of Migrants by Land, Sea and Air, and its Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children.

These principles of international law are factors in establishing the domestic U.S. law and policy. Further, the principle of non-refoulement influences the development of U.S. procedural safeguards necessary to ensure that refugees are not mistakenly returned to persecution.

## F.7. Domestic legal framework

The United States has established its sovereign authority over immigration and border control in:

- the U.S. Constitution,
- the Immigration and Nationality Act (INA), codified in Title 8 USC,
   and
- regulations found in Title 8 CFR.





#### F.7.a. Immigration and Nationality Act (INA)

The Immigration and Nationality Act (INA) only applies in the continental United States, Alaska, Hawaii, Puerto Rico, Guam, and the U.S. Virgin Islands. In brief, the INA and its implementing regulations provide that aliens may lawfully enter the United States only after having passed through a U.S. immigration inspection station at which their compliance with various U.S. entry or admission requirements has been verified. To ensure the security of U.S. borders (U.S. Constitution Art. 2, sec. 1, cl. 1), the President has issued two directives establishing policy for undocumented migrant interdiction and repatriation:

- Executive Order 12807: Interdiction of Illegal Aliens (EO 12807, May 24, 1992), and
- Presidential Decision Directive-9: Repatriation Process (PDD-9, June 1993).

#### F.7.a.1. Executive Order 12807

As a result of Executive Order 12807, the Secretary of State issued appropriate instructions to the Coast Guard to enforce the suspension of the entry of undocumented aliens by sea and the interdiction of vessels carrying such aliens. Refer to F.11.a in this section for reference information.

#### F.7.a.2. Presidential Decision Directive-9 (PDD-9)

In 1993, the President issued PDD-9 establishing U.S. government organization and tasks for dealing with alien smuggling.

## F.8. U.S. immigration policy

U.S. immigration policy long recognized protection from persecution as a general principle, but the past 20 years have seen Congress providing specific direction in handling asylum cases. U.S. immigration policy includes:

#### Protection from persecution:

- Refugee Act of 1980
- Immigration Act of 1990
- Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRAIRA)

#### Protection from torture:

- Foreign Affairs Reform and Restructuring Act of 1998
- Executive Order 13107: Implementation of Human Rights Treaties (E.O. 13107, December 10. 1998)



### F.8.a. Refugee Act of 1980

The Refugee Act of 1980 prevented the return of individuals facing persecution, extending protection to those who approach U.S. officials overseas as well as those individuals arriving on the border. Refer to F.11.b. of this section for reference information.

#### F.8.b. Immigration Act of 1990

The Immigration Act of 1990 established standards for automatically denying asylum to those aliens who commit serious nonpolitical crimes.

#### F.8.c. Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRAIRA)

The Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRAIRA) resulted in some of the most significant changes to U.S. immigration law in decades, including provisions for expedited removal of arriving aliens who are seeking admission to the U.S. but who are inadmissible either because they lack proper entry documents or present fraudulent entry documents.

#### F.8.d. Foreign Affairs Reform and Restructuring Act of 1998

In the Foreign Affairs Reform and Restructuring Act of 1998, Congress directed the INS to establish regulations encompassing the protection and non-refoulement provisions of the 1984 Convention Against Torture.

#### F.8.e. Executive Order 13107

In December 1998, the President signed Executive Order 13107, Implementation of Human Rights Treaties (E.O. 13107, December 10, 1998), which ordered all agencies to "...respect and implement [their] obligations under the international human rights treaties to which [the Government of the United States] is a party."

### F.9. Intercepting vessels

Migrant vessels should be intercepted as close to the territorial sea of the source country as possible. Many migrant vessels will simply turn around and head back to shore, and possibly scrap plans for the voyage. Another reason to intercept as close to land as possible is for safety of life at sea reasons. Many migrant vessels are not seaworthy and/or are overcrowded. If the vessel turns back and needs assistance, the unit may enter the territorial seas under the Right of Assistance Entry.

## F.10. Migrant interdiction operations

When approaching a migrant vessel, it is prudent to do so with a small boat or patrol craft. A larger vessel can produce a wake or block wind from a vessel's sails causing an inherently unstable vessel to capsize. Upon approach, U.S. Coast Guard personnel look for:



- items that can damage the small boat,
- the ability for people to get on and off the boat and if special equipment is needed,
- number of people onboard,
- structural integrity of the vessel, and
- stability characteristics.

### F.10.a. Capsizings and sinkings

Capsizings and sinkings may result in dozens or even hundreds of migrants entering the water simultaneously. The most important step is to immediately provide flotation to the persons in the water. In addition, as soon as practical, lower ladders and other devices into the water to allow the migrants to climb aboard.



## F.10.b. Health concerns

There are numerous hazards faced aboard migrant vessels aside from stability. With migrants becoming more mobile, health concerns are a major issue. Diseases that are not commonly found in the vicinity of this country can be present among the migrants. The poor living conditions on these vessels can spread any disease to all the other migrants. Aside from disease, the most common medical issues faced with migrants rescued at sea are malnutrition, dehydration, exposure to the elements, and exposure to toxic materials found on old vessels. It is also possible that at any moment a migrant case can turn into a rescue case should the vessel's condition suddenly deteriorate.



#### F.11. References

This section contains the following references:

F.11.a. Executive Order 12807	http://envirotext.eh.doe.gov/data/eos/bush/19920524.html
	Provides access to an electronic copy of Executive Order 12807.
F.11.b. Refugee Act of	http://www.acf.dhhs.gov/programs/orr/policy/refact1.htm
1980	Provides access to an electronic copy of the Refugee Act of 1980.



## **Chapter 3 Protection of Natural Resources**

#### Introduction

The U.S. Coast Guard's role in protecting natural resources is one of education, prevention, enforcement, response, containment, and recovery. The United States marine waters and ecosystems are among the most productive in the world and protecting these resources through pollution prevention, response, and enforcement activities will ensure living marine resources are neither depleted nor damaged.

#### Mission

Eliminate environmental damage and natural resource degradation associated with all maritime activities, including transportation, commercial fishing, and recreational boating.

#### In this chapter

This chapter contains the following sections:

Section	Mission Areas	See Page
A	Pollution Prevention	3-3
В	Marine Debris	3-9
С	Environmental Response	3-11
D	Aquatic Nuisance Species Control	3-19

#### Model Maritime Operations Guide





#### Section A. Pollution Prevention

#### Introduction

The U.S. Coast Guard's goal is to eliminate pollution discharged into the waterways from any source. It is estimated that U.S. Coast Guard prevention activities avoid national energy and cleanup costs of nearly \$6,000,000,000 each year. Prevention activities include:

- education,
- award incentives,
- research and development,
- regulatory and policy development,
- boarding and inspection of vessels and facilities to ensure compliance,
- navigation positioning, and
- communications.





#### A.1. Education

Well over 90 percent of the spills that occur each year in the U.S. are small spills from commercial and recreational sources. The U.S. Coast Guard takes a very pro-active and innovative approach to preventing marine pollution; especially oil spills by means of educating the public and developing partnerships with industry personnel, and federal and local state agencies.

#### A.2. Sea Partners Campaign

The Sea Partners Campaign was created as a part of the U.S. Coast Guard's education program to accomplish the following:

- Prevent pollutants from entering the waterways through public outreach.
- Develop partnerships with businesses and community organizations.
- Teach children about pollution and provide educational material to schools and teachers.
- Provide presentations to groups; dock walking; booth at boat show or community event.
- Plan meetings with local organization, participate in and organize beach cleanups.
- Publish written materials on the effects of pollution, rules and regulations against pollution, and how to prevent pollution.

Refer to A.6.a of this section for reference information.





#### A.3. Biennial International Oil Spill Conference

The Biennial International Oil Spill Conference (IOSC) promotes international exchange of information and ideals dealing with spill prevention. The general committee responsible for managing the conference is comprised of several agencies including:

- America Petroleum Institute (API)
- International Maritime Organization (IMO)
- International Petroleum Industry Conservation Association (IPIECA)
- Minerals Management Services (MMS)
- National Oceanic Atmospheric Association (NOAA)
- U.S. Coast Guard
- U.S. Environmental Protection Agency (USEPA)

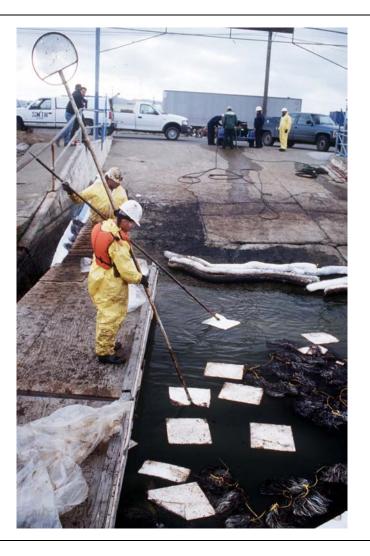
The IOSC is the premier gathering for oil spill response experts from around the world, and provides a unique opportunity to catch up on all major developments in the field and interact with the most knowledgeable people tied to those activities. Refer to A.6.b of this section for reference information.

#### A.4. U.S. Coast Guard Marine Safety and Environmental Protection Program

The Coast Guard Marine Safety and Environmental Protection Program recognized the need to develop positive incentives for pollution prevention by regulated industry and other key groups in the maritime community. The Biennial William M. Benkert Award was established and serves as the premier marine environmental protection award. The award acknowledges outstanding achievements in areas of pollution prevention, results beyond mere compliance with industrial and regulatory standards. The categories evaluated include:

- Small Business (Vessel Operations)
- Small Business (Facility Operations)
- Large Business (Vessel Operations)
- Large Business (Facility Operations)





#### A.5. Oil Pollution Act of 1990

The Oil Pollution Act of 1990 (OPA 90) Sec. 7001(a)(2) established the Interagency Coordinating Committee on Oil Pollution Research, which is chaired by the U.S. Coast Guard. The committee's membership includes representatives from:

- federal agencies,
- state governments,
- industry,
- universities,
- research institutions, and
- other nations as appropriate.

Within the committee there are several subcommittees, one of which maintains the specific function of prevention research.



#### **A.6. References** This section contains the following references:

A.6.a. Sea Partners Campaign	http://www.uscg.mil/hq/g-m/nmc/Seapart.htm
	The Sea Partners Campaign is an environmental education and outreach program focused on communities at large to develop community awareness of maritime pollution issues and to improve compliance with marine environmental protection laws and regulations.
A.6.b. Biennial International Oil Spill Conference	http://www.iosc.org/papers.htm  The goal of the Biennial International Oil Spill Conference is to delineate the overall dimensions of the oil spill's problem, explore the present state-of-the-art of prevention and control of oil spills, and review the relevant research and development efforts of government and private industry, both in the U.S. and abroad.

#### Chapter 3 – Protection of Natural Resources





#### Section B. Marine Debris

#### Introduction

Marine debris is unsightly and can be unsafe for humans and especially animals. Animals may become tangled in debris and drown, or they can eat it and become sickened. Marine debris can foul propellers and other operating machinery around the waterfront.

## B.1. Waste disposal

Each day tons of waste are discarded. The principal cause of garbage discarded into the waterways is recreational use. The principal means of prevention is education about the effects of plastic and garbage on the environment, and the penalties for discarding debris into the marine environment



## **B.2.** Dumping restrictions

In accordance with the requirements of MARPOL 73/78, it is illegal in the United States to discharge plastics or garbage containing plastics into any waters. Additional restrictions on dumping of vessel operational, non-plastic waste are outlined below. Regional, state or local laws may place further restrictions on the disposal of garbage. All discharge of garbage is prohibited in the Great Lakes or their connecting or tributary waters. Refer to B.3.a of this section for reference information.



B.2.a. Lakes, rivers, bays, and sounds, and up to 3 miles offshore

It is illegal to dump all garbage in lakes, rivers, bays, and sounds, and up to 3 miles offshore.

## B.2.b. 3 to 12 nautical miles offshore

From 3 to 12 nautical miles offshore, it is illegal to dump:

- plastic;
- dunnage, lining and packing materials that float; and
- all other vessel operational garbage if not ground to less than 1 inch.

## B.2.c. 12 to 25 nautical miles offshore

From 12 to 25 nautical miles offshore, it is illegal to dump:

- plastic and
- dunnage, lining and packing materials that float.

## B.2.d. Outside 25 nautical miles

Outside 25 nautical miles offshore, it is illegal to dump plastic.

## B.2.e. Dumping restrictions

Vessels 26 feet or longer must display the dumping restrictions in a prominent place for passengers and crew to read.

#### **B.3. References** This sect

This section contains the following references:

# B.3.a. MARPOL 73/78 http://www.imo.org/home.asp Provides access to MARPOL 73/78, International Convention for the Prevention of Pollution from Ships.



#### Section C. Environmental Response

#### Introduction

Faced with the reality that oil spills will continue to occur, the U.S. Coast Guard's strategy is to mitigate the effects by minimizing damage to property and to the environment. This is accomplished as follows:

- Plan to respond to pollution incidents, particularly oil spills.
- Exercise and practice oil spill response so that all parties know their jobs.
- Respond quickly and effectively when there is a response.
- Review the response after cleanup is complete to find ways to improve.



#### C.1. Planning

The U.S. Coast Guard is responsible for oil spill planning, preparedness and cleanup in United States navigable waters. The following plans assist the U.S. Coast Guard in carrying out their environmental response goals:

- National Contingency Plan
- Area Contingency Plans
- Vessel Response Plans
- Shipboard Oil Pollution Emergency Plans



#### C.1.a. National Contingency Plan

The Coast Guard is a key participant in the pollution incident planning process with efforts ranging from co-leadership of national response planning and policy development to development and implementation of regulations for vessel response planning. The Coast Guard co-Chairs the U.S. National Response Team (NRT) and each Regional Response Team. The NRT coordinates and establishes federal policy for government response to pollution incidents. A National Contingency Plan (NCP) provides government authority to direct and coordinate response and assigns responsibilities to responders and natural resource trustees. Refer to C.4.a and C.4.b of this section for reference information.

## C.1.b. Area

Each of the U.S. Coast Guard's 47 Captains of the Port is the designated Contingency Plans Federal On-Scene Coordinator (FOSC) for pollution planning and response. The FOSC oversees the development and maintenance of Area Contingency Plans within their areas of responsibilities. Each of these plans is consistent national planning requirements and contains requirements. Each also identifies sensitive environmental areas, local response resources, communication plans, etc. Refer to C.4.c of this section for reference information.

#### C.1.c. Vessel Response Plans

After the Exxon Valdez oil spill in 1989, the U.S. Congress passed the Oil Pollution Act of 1990 (OPA90). OPA90 requires tank vessels, foreign and domestic, operating in U.S. waters to prepare a plan for responding to a spill of the vessel's entire cargo of oil. OPA90 also requires facilities to have oil spill response plans. Vessel and Facility Response Plan regulations are available in Title 40 CFR 300.211. Each tank vessel owner is required to notify the Coast Guard about significant changes to a plan. The Coast Guard reviews all vessel response plans. As part of the planning requirements, vessel and facility owners must show evidence of committed cleanup contractor resources. Also, before a tank vessel is allowed to operate in U.S. waters, it must have a Certificate of Financial Responsibility (COFR). COFRs are issued by the Coast Guard to vessel owners with sufficient insurance to meet established liability limits (set by OPA90). Refer to C.4.d and C.4.e of this section for reference information.



#### C.1.d. Shipboard Oil Pollution Emergency Plans

Shipboard Oil Pollution Emergency Plans (SOPEPs) are required by Regulation 26 of Annex I of the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto (MARPOL 73/78). SOPEPs are required for those vessels carrying oil (unless covered by OPA90), noxious liquid substances, garbage, municipal or commercial waster, or ballast water.

The purpose of the SOPEP is to provide guidance to the master and officers onboard the ship with respect to the steps to be taken when a pollution incident has occurred or is likely to occur. Refer to C.4.f of this section for reference information about SOPEP.

SOPEPs contain all information and operational instructions required by the guidelines found in IMO's Marine Environment Protection Committee (MEPC) Resolution MEPC.54(32). The appendices contain names, telephone numbers, telex numbers, etc. of all contacts referenced in the plan, as well as other reference material. The Coast Guard also reviews all SOPEPs. Refer to C.4.g of this section for reference information.

#### C.2. Exercises

To ensure that response plans (Facility Response Plans, Vessel Response Plans and SOPEPs) provide effective guidance, the Coast Guard developed an exercise program. The Oil Pollution Act of 1990 requires that response exercises be held periodically. The Preparedness for Response Exercise Program (PREP) guidelines establish minimum standards for response exercises. Coast Guard Marine Safety Offices around the nation observe exercises and review exercise records to ensure compliance with the law. At the completion of each exercise, observers review the activities, evaluate exercise effectiveness and make recommendations to improve performance at the next exercise, or during a response. Refer to C.4.h and C.4.i of this section for reference information.

#### C.3. Response

The Coast Guard is engaged in oil and hazardous substance operations at every level, from notification to cleanup.



C.3.a. Notification

The Coast Guard National Response Center (NRC) is the sole federal point of contact for reporting oil and chemical spills. When someone observes a spill, they are requested to contact the NRC via the toll-free number or through the web. Refer to C.4.j of this section for contact information. A vessel or facility owner who spills oil or a hazardous chemical is required by law to report the spill. The NRC is staffed by Coast Guard personnel who maintain a 24-hour per day, 365-day per year telephone watch. NRC watchstanders enter telephonic reports of pollution incidents into the Incident Reporting Information System (IRIS) and immediately relay each report to the pre-designated Federal On-Scene Coordinator (FOSC). The NRC also provides emergency response support to the FOSCs. This includes extensive reference materials, state-of-the-art telecommunications and operation of automated chemical identification and chemical dispersion information systems.





## C.3.b. Incident command and control

The Captain of the Port (COTP), also known as the Federal On-Scene Coordinator (FOSC), is authorized and responsible for directing all cleanup operations. If the Responsible Party (RP), the spiller, is operating effectively, cleaning up the spill and meeting financial responsibilities (paying contractors, paying for damage claims, etc.), the FOSC will often exercise oversight only. If the RP is not meeting his responsibilities, the FOSC may actively direct cleanup operations, hire cleanup contractors, commit financial resources, and then prepare a claim, and a legal case, against the RP. How the FOSC uses his authority is often determined by the RP. It is always in the RP's best interest to cooperate.

In 1996, the Coast Guard adopted the Incident Command System (ICS). The ICS provides a structure for group decision-making on operational, financial, and natural resource questions and includes all parties to the response—state and federal government response organizations, RP and insurer(s), and natural resource trustees. Refer to C.4.k of this section for reference information.

#### C.3.c. Coast Guard strike force

The National Strike Force (NSF) was established in 1973. Originally comprised of three 17-member strike teams, today's National Strike Force totals over 200 active duty, civilian, and reserve personnel and includes the following:

- National Strike Force Coordination Center (NSFCC) in Elizabeth City, NC;
- Atlantic Strike Team in Ft. Dix, NJ;
- Gulf Strike Team in Mobile, AL;
- Pacific Strike Team in Novato, CA; and
- Public Information Assist Team (PIAT) located at the NSFCC.

The NSF provides highly specialized personnel and equipment to Coast Guard and other federal agencies. NSF personnel facilitate preparedness and response to oil and hazardous substance pollution incidents. Refer to C.4.1 of this section for reference information.



## C.3.c.1. Strike teams

The strike teams provide rapid response support in:

- incident management,
- site safety,
- contractor performance monitoring,
- resource documentation,
- response strategies,
- hazard assessment,
- oil spill dispersant,
- in-situ burn,
- high capacity lightering and offshore skimming,
- environmental pollution response training, and
- pollution response equipment test and evaluation.

## C.3.c.2. Public Information Assistance Team

Following major incidents such as oil or chemical spills, hurricanes, floods and other disasters, the media's (newspapers, television, radio) demands for public information can overwhelm an unprepared FOSC, constraining him/her in performing their primary job of protecting public safety and the environment. The Public Information Assistance Team (PIAT) helps the FOSC manage media relations during an oil spill or other crisis. Additionally, the specialized, four-member team conducts Joint Information Center training, Media Relations training and Environmental Risk Communications training nationwide.

#### **C.4. References** This section contains the following references:

C.4.a. U.S. National Response Team	http://www.nrt.org/
	Provides access to U.S. National Response Team website.
C.4.b. National Contingency Plan	http://www.epa.gov/oilspill/ncpover.htm
	Provides access to an overview of the National Contingency Plan through the EPA website.
C.4.c. Area Contingency Plan	http://www.uscg.mil/vrp/acp/acp.shtml
	Provides access to an Area Contingency Plan point of contact listing for the Vessel Response Plans (VRP) and Shipboard Oil Pollution Emergency Plans (SOPEP).



	7
C.4.d. Oil Pollution Act of 1990 (OPA90)	http://www.uscg.mil/hq/g-m/nmc/response/opawordp.pdf
	Provides access to an electronic copy of OPA90, which is an Act that establishes limitations on liability and compensation for damages due to oil pollution.
C.4.e. Title 40 CFR 300.211	http://frwebgate.access.gpo.gov/cgi-bin/get-cfr.cgi
	Provides access to an electronic copy of OPA Facility and Vessel Response Plans, which require that any vessel, on or offshore, must report an oil or hazardous substance discharge.
C.4.f. SOPEP	http://www.uscg.mil/vrp/reg/sopep.shtml
	Provides access to an electronic copy of 33 CFR 151.26, <i>Shipboard Oil Pollution Emergency Plans</i> , which provide guidance to the master of a vessel in the case of a pollution occurrence.
C.4.g. Marine Environment Protection Committee	http://www.imo.org/Circulars/index.asp?topic_id=331
(MEPC)	Provides access to electronic copies of Circulars under the MEPC, which is part of the IMO.
C.4.h. Preparedness for Response Exercise Program	http://www.uscg.mil/hq/g-m/nmc/response/msprep.pdf
Guidelines (PREP)	Provides access to an electronic copy of PREP, which are guidelines that implement the fulfillment of the Oil Pollution Act of 1990 while addressing oil pollution response.
C.4.i. G-MOR-2 Plans and Preparedness Division	http://www.uscg.mil/hq/g-m/mor/gmor-2.htm
F	Provides access to the website for G-MOR-2 Plans and Preparedness Division of the U.S. Coast Guard, which administers integrated planning and preparedness programs for Coast Guard response to incidents.
C.4.i. G-MOR-2 Plans and Preparedness Division	of 1990 while addressing oil pollution response. <a href="http://www.uscg.mil/hq/g-m/mor/gmor-2.htm">http://www.uscg.mil/hq/g-m/mor/gmor-2.htm</a> Provides access to the website for G-MOR-2 Plans an Preparedness Division of the U.S. Coast Guard, which administers integrated planning and preparedness programs for the property of th



C.4.j. National Response Center (NRC) contact	Telephone number: 1-800-424-8802	
information	http://www.nrc.useg.mil/index.htm	
	Provides access to the website for the U.S. Coast Guard's NRC, which is the point of contact for reporting oil and chemical spills.	
C.4.k. Incident Command System (ICS)	http://www.uscg.mil/hq/g-m/mor/Articles/ICS.htm	
	Provides access to the website for the U.S. Coast Guard's ICS, which is a response system adopted by the Coast Guard in February 1996 in response to oil and hazardous substance releases.	
C.4.l. National Strike Force	http://www.uscg.mil/hq/nsfcc/nsfweb/NSF/Command/index.html	
	Provides access to the website for the U.S. Coast Guard's NSF, which provides experienced personnel to aid in responding to oil and hazardous pollution incidences.	



#### **Section D. Aquatic Nuisance Species Control**

#### Introduction

Every day, as a result of vessel ballasting operations, large quantities of ballast water that were taken onboard in one coastal area are discharged into a different coastal area. Along with this water are plants, animals, bacteria, and human pathogens. These organisms range in size from microscopic to large plants and free-swimming fish, and have the potential to become aquatic nuisance species (ANS), which:

- displace native species,
- degrade native habitats,
- spread disease, and
- disrupt human social and economic activities that depend on water resources.

Any ship carrying ballast water is a potential invasion source.

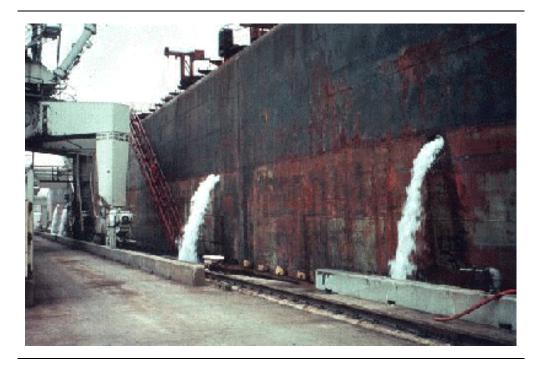
#### D.1. National Ballast Water Management (BWM) Program

In recent years there has been increased international concern for the threats to human health, aquaculture, and coastal environments from aquatic nuisance species and diseases. The U.S. Coast Guard is responding to these concerns through a comprehensive National Ballast Water Management (BWM) Program, which:

- promotes BWM for operators of all vessels in waters of the U.S.
- provides BWM guidelines for all vessels entering U.S. waters from outside of the EEZ, and
- requires the reporting of BWM data by all vessels entering U.S. waters from outside of the EEZ.

Refer to D.3.a of this section for accessing further program details.





## D.2. Program compliance

In June 2002, the Secretary of Transportation submitted a report to Congress assessing compliance by vessels with the reporting requirement and ballast water management guidelines. The report concluded that the consistently low rate of vessel reporting made it impossible to accurately assess compliance with the voluntary BWM guidelines. This finding, coupled with broad support for a mandatory national BWM program and the statutory requirements of the National Invasive Species Act, leads the Coast Guard to issue regulations making the requirements of the voluntary program mandatory and provide for their enforcement. The necessary regulatory actions to put such a regime in place are underway.

#### **D.3. References** This section contains the following references:

D.3.a. Aquatic nuisance
species ballast water control

http://www.uscg.mil/hq/g-m/mso/mso4/bwbrochure.html

Provides access to the U.S. Coast Guard's Ballast Water Brochure, which provides rules, regulations, and safety instructions for vessels having ballast tanks.



# Chapter 4 Maritime Mobility

### Introduction

Maritime mobility is empowered to control the use of our nation's waterways to ensure the safe use of such waterways by commercial and recreational users.

### Mission

Facilitate maritime commerce and eliminate interruptions and impediments to the economical movement of goods and people, while maximizing recreational access to and enjoyment of the water.

### In this chapter

This chapter contains the following sections:

Section	Mission Areas	See Page
A	Marine Transportation System (MTS)	4-3
В	Waterways Management	4-7
С	Aids to Navigation	4-9



### Model Maritime Operations Guide





## Section A. Marine Transportation System (MTS)

#### Introduction

Waterways are the backbone of international commerce and the transportation and distribution of goods. Most international commerce passes through a marine port.

# A.1.

The Marine Transportation System (MTS) comprises over 25,000 miles of **Accomplishments** navigable channels, over 300 ports and related infrastructure; including pier facilities, rail connections, and highways. Over 95% of our overseas trade and 25% of our domestic trade moves in or out by ship. Annually, the U.S. MTS accomplishes the following:

- Moves more than 2 billion tons of freight worth one trillion dollars.
- Imports 3.3 billion barrels of oil to meet U.S. energy demands.
- Transports 134 million passengers by ferry.
- Hosts more than 5 million cruise ship passengers.
- Supports 110,000 commercial fishing vessels that contribute \$111 billion to State economies.
- Serves an increasing population of 78 million Americans engaged in recreational boating.

### A.2. Challenges

As the world's economies continue to grow, maritime traffic will also grow in both volume and complexity. The United States alone is forecasting that maritime traffic in 2020 will be twice that of today.

The changing nature of marine transportation poses increased risk to safe vessel transits, to the marine environment, and to quality of human life in the vicinity of ports. Waterway systems and their associated infrastructure (piers, channels, cargo moving facilities and equipment, etc.) will require careful planning and management to meet projected, worldwide challenges of:

- Increased vessel traffic and waterways congestion;
- Larger ships with deeper drafts;
- Increased ferry traffic, some of them traveling at high speed with large numbers of passengers in congested urban port areas;
- Huge new ships carrying 6.000 or more twenty foot equivalent (TEU) containers;
- Passenger vessels designed to carry as many as 5,000 people;
- Advanced information systems technology that supports precision electronic radio-navigation; and
- Improved communications, hydrographic, and cargo systems.



# A.3. Transportation coordination

Getting vessel-carried goods to market requires that they be transferred from ships to other modes of transportation (barges, trucks, rail). They often must pass through inspection by customs, agricultural inspectors, or other law enforcement before transiting through heavily congested port areas to their final destination. Careful coordination and collaboration on maritime transportation issues with federal, state, provincial, and local governments; users, commercial and private; as well as the general public are essential to the effective transportation of goods and passengers in the waterways. Threats to safety, mobility, competitiveness in international trade, and the environment will increase with the increase in usage, unless ways are found to better integrate planning and actions of all waterway users and stakeholders.

# A.4. Facilitating mobility

The U.S. Coast Guard facilitates mobility through a multitude of activities, including:

- maintenance of a system of electronic and visual navigational aids to mariners,
- vessel traffic management services that facilitate safe passages in congested ports, and
- bridge administration that oversees the nature and size of bridges installed in national waterways.

### A.5. MTS cause

In an effort to help facilitate and continue to meet the growing demands on our nation's waterways, the Coast Guard, along with other agencies, has championed the Marine Transportation System (MTS) cause. The Coast Guard's goal for the U.S. Marine Transportation System is to be the world's most technologically advanced, safe, secure, efficient, effective, accessible, globally competitive, dynamic, and environmentally responsible system for moving goods and people.

# A.5.a. MTS organization

The MTS is part of the National Transportation System triad. It is the third leg, along with land surface (highways/rail) and air transportation. Highways, rail and air each have defined boundaries and one main federal oversight agency, while the MTS is much more complex and not as neatly defined.

Eighteen federal agencies own a portion of the MTS, but none are officially designated as the lead. Also, numerous state and local agencies, many private industries, a variety special-interest groups, and the public use the MTS.



# A.5.b. MTS management

A 1999 Report to Congress acknowledged that management of the MTS was fragmented and needed to be more systematic. Subsequently, a national-level Interagency Committee of the MTS (ICMTS) consisting of the 18 federal agencies and an MTS National Advisory Council (MTSNAC) made up of 30 private sector organizations were formed. At the regional level, so far, three committees have been chartered out of a total of seven defined regions. In addition, there are over 100 Harbor Safety Committees (HSCs) that deal with local safety, security, environmental and mobility issues.

### A.6. U.S. Coast Guard role

The Coast Guard plays a leadership role in the coordination and management of our waterways and the MTS. The Coast Guard currently chairs the ICMTS in at least 30% of the HSCs nationwide and actively participates in all other regional and local committees, workgroups and panels. In coordination with interagency partners, the U.S. Coast Guard is aggressively pursuing the development of a comprehensive legislative package (SEA 21) for dedicated funding of the MTS.

### Chapter 4 – Maritime Mobility





## Section B. Waterways Management

### Introduction

In contrast to the passive navigational assistance provided by aids to navigation, the U.S. Coast Guard also actively operates vessel traffic service systems in key national waterways. We often refer to the International Association of Lighthouse Authorities (IALA) guides for Vessel Traffic Services (VTS), specifically the *IALA Vessel Traffic Services Manual*. Refer to B.2.a of this section for reference information.



# **B.1. Vessel** traffic services

As a form of active traffic management, Vessel Traffic Services (VTS) monitor, inform, recommend, and when necessary, direct vessel traffic in a prescribed manner to instill good order and predictability. A VTS typically uses surveillance systems to monitor vessel traffic in congested areas and VHF/FM communications equipment to collect and disseminate navigation safety information. A vessel's type, size and propulsion are factors that determine whether a vessel must communicate with the VTS upon entry and during a transit of the port's waterways. Procedures for operating with VTS are available in numerous maritime publications and are published and distributed free of charge by each VTS.



# B.1.a. Automatic identification system

The Coast Guard's Ports and Waterways Safety System (PAWSS) project is fostering a new generation of collision avoidance and navigation safety equipment called Automatic Identification System (AIS) which:

- combines GPS satellite navigation, electronic charts, other sensors and communications systems in innovative ways to improve mariners' ability to perform safely, and
- permits less costly VTS operations in those ports where a risk assessment has determined the necessity of a VTS. This risk assessment process considers various safety enhancing alternatives based on the risks in a given port, then assesses the effectiveness and cost of implementation.

# B.1.b. Technology

Newly established VTS will be equipped with AIS technology, while currently operating VTS will be retrofitted with the new technology and sensors as time and operations permit.

### **B.2.** References

This section contains the following references:

B.2.a. IALA Vessel Traffic Services Manual	http://www.iala-aism.org/mainsite/index.html
	Provides access to an electronic copy of the IALA VTS Manual.



## Section C. Aids to Navigation

### Introduction

The United States has an interest in reducing the likelihood of vessels colliding, alliding, or grounding in order to prevent harm to people, property, or the environment. The United States would also like to maximize the potential use of the maritime transportation system for economic gain, recreational enjoyment, and military flexibility. A system of federal-private interventions is used to minimize transit risk and maximize mobility for military, security, economic activities, and support recreational interests of citizens. One of the key programs in the interdependent system of risk management interventions is aids to navigation, which include:

- short-range aids to navigation (SRA),
- radio aids to navigation (RNAV),
- marine information (MI), and
- vessel traffic services (VTS).

These activities provide the mariner with an appropriate density of data that assists them through the open-ocean, coastal, harbor entry, and restricted waters phases of navigation. Providing this data contributes to managing risks associated with vessel transits across 25,000 miles of the American maritime transportation system, serving both recreational and commercial mariners. Aids to navigation are also expanding to include technologies like the automated information system.

The United States Coast Guard is the governmental authority assigned the responsibility for the nation's aids to navigation infrastructure. The authority is established under Title 14 USC, Sections 2 and 81. See C.4.a of this section for reference information



### C.1. Shortrange aids to navigation

Short-range aids to navigation consist of visible and audible signals placed along waterways to assist mariners in determining where they are and where they can go. These include various size buoys and beacons, lighthouses, and range markers. The fixed and floating structures carry an array of day and night visual signals, sound signals, and electronic and reflective enhancements that support the use of an aid station in conjunction with radar.

In September 2002, there were 13,000 non-variable-position floating stations, 22,000 non-variable-position fixed stations, and an average of 15,000 variable-position western rivers stations. The total direct federal contribution was approximately 51,000 aid stations with combinations of sound, radar, and lighted and unlighted visual characteristics. The typical configuration for SRA in various waterways is a minimal lateral marking of safe navigation corridors, providing an outline of where to go. Over 35,000 private aid stations compliment the core federal system. A U.S. Coast Guard District office manages the federal aids and regulates privately established aids. The total United States public-private SRA constellation is over 80,000 stations.

# C.2. Marine information

Marine information is published or broadcast in a variety of forms to meet the needs of commercial, military, and recreational mariners. These information forms include:

- Local Notice to Mariners
- Weekly Notice to Mariners
- Broadcast Notice to Mariners
- U.S. Coast Guard Light List

### C.2.a. Local Notice to Mariners

The Local Notice to Mariners, which is published weekly, is the primary means by which the U.S. Coast Guard disseminates navigation information for the United States, its territories, and possessions. The Local Notice to Mariners contains information including:

- chart and nautical publication corrections,
- channel depths,
- hazards to navigation,
- military operations, and
- bridge clearances.

These notices are essential to all mariners and may be obtained free of charge.



C.2.b. Weekly Notice to Mariners The Weekly Notice to Mariners provides information similar to the Local Notice to Mariners. However, this notice is intended for mariners and others who have a need for information related to oceangoing operations. Because it is intended for use by oceangoing vessels, many corrections that affect small craft navigation and waters are not included. Information on ports and deep draft waterways outside of the United States is also included. The Weekly Notice to Mariners is prepared jointly by the National Imagery and Mapping Agency, the U.S. Coast Guard, and the National Ocean Service, and is published weekly by the National Imagery and Mapping Agency.



C.2.c. Broadcast Notice to Mariners When information is of such a nature that it cannot wait to be published in the Local Notices to Mariners, a Broadcast Notice to Mariners is made. The Coast Guard disseminates Broadcast Notices to Mariners through Coast Guard and Navy radio stations. The broadcast notices are broadcast on VHF-FM voice, NAVTEX, and other maritime frequencies and contain information of importance to the safety of navigation including:

- reports of deficiencies and changes to aids to navigation,
- changes in channel conditions and weather,
- search and rescue information,
- military exercises,
- marine obstructions, and
- important bridge information.



### C.2.d. U.S. Coast **Guard Light List**

In addition to the notices to mariners, the Coast Guard also issues the U.S. Coast Guard Light List. The Light List is issued in seven regional editions and contains a description of all lights and other marine aids to navigation, maintained by or under authority of the U.S. Coast Guard. The Light List contains more complete information regarding aids to navigation than can be conveniently shown in nautical charts.

### C.3. Radio aids to navigation

The Radio Navigation Program establishes, operates, and maintains electronic aids to navigation throughout the United States and in other areas of the world. The purpose of these systems is to provide a continuous, accurate, all-weather positioning capability to military and civilian users of both maritime and aviation transportation, in order to prevent disasters, collisions, and wrecks of vessels and aircraft. The Radio Navigation Program Office provides advice, liaison, and consultation with federal, state and local government agencies, foreign interests, user groups, and others concerning radio navigation systems. Currently, this program consists of two operating radio navigation systems:

- LORAN-C
- Differential Global Positioning System

C.3.a. LORAN-C LORAN-C is a radio navigation system using at least three land-based radio transmitters and receivers to allow mariners, aviators, and land-based navigators to determine their position. LORAN-C is also used to as a precise time reference; each Loran Chain's Master station is synchronized to Universal Time within 100 nanoseconds. LORAN-C provides position information accurate to less than .25 nautical miles with an operational availability rate of 99.7%. LORAN-C provides coverage across the continental U.S. and Alaska. The U.S. Coast Guard also operates LORAN-C Chains in cooperation with Canada and Russia.

> The Coast Guard is currently modernizing the LORAN-C system by upgrading the timing and frequency equipment, transmitting towers, communication equipment, and replacing its tube-type transmitters with more efficient solid state transmitters. Modernization will substantially reduce operating and maintenance costs and greatly improve system reliability. In addition, the U.S. Coast Guard has partnerships with other U.S. government agencies and academic research facilities to determine the feasibility of LORAN-C as a viable backup or as an augmented system for the Differential Global Positioning System.



C.3.b. Differential Global Positioning System The U.S. Coast Guard maintains and operates a Maritime Differential Global Positioning System (DGPS). This system, consisting of approximately 45 radio transmitters and receivers, broadcasts correction signals to improve the accuracy and integrity of the U.S. Air Force's satellite-based Global Positioning System (GPS). This system, more accurate than the LORAN-C system, provides accuracies of 10 meters or less. The Coast Guard's Differential Global Positioning System provides complete coastal coverage of the continental U.S., major inland waterways and selected portions of Hawaii, Alaska, and Puerto Rico.

The U.S. Coast Guard is the lead agency for civil GPS service operations. This service is the worldwide forum for effective interaction between all civil GPS users and the U.S. government GPS program managers. Committee members are from U.S. and international private, government, and industry user groups. Information from this committee is provided to U.S. GPS authorities for consideration in policy development and service operation.

### **C.4. References** This section contains the following references:

C.4.a. Title14 USC	http://uscode.house.gov/title_14.htm
	Provides access to an electronic copy of Title 14 USC, Section 2 (Chapter 1) and Section 81 (Chapter 5).

### Chapter 4 – Maritime Mobility





# Chapter 5 National Defense

#### Introduction

The Coast Guard, is, by statute, a military service and a branch of the armed forces of the U.S. at all times. It is required to maintain a state of readiness to function as a specialized service in the Navy in time of war. It is also specifically authorized to assist the Department of Defense in the performance of any activity for which the Coast Guard is especially qualified. Coast Guard tasks in the maritime aspects of warfare encompass critical elements of naval operations in littoral regions, including port security and safety, military environmental response, maritime interception, coastal sea control, and force protection.

The U.S. Coast Guard's Homeland Security mission is not new to the Coast Guard. It is more visible today than it was prior to the tragic events of September 11, 2001, but it is just as important as it was when we first began protecting our national sovereignty over 200 years ago. After the September 2001 terrorist attacks, the Coast Guard immediately made changes, refocused efforts, and developed new tools and policies to protect the American people and our valuable ports and waterways. It immediately mobilized more than 2,000 Reservists in the largest homeland defense and port security operation since World War II. It also became a major component of the new Department of Homeland Security on March 1, 2003. Based on existing skills, authorities, systems, and response plans, the dedicated personnel of the U.S. Coast Guard have risen to a much higher level of national security.

Information regarding Coast Guard national defense missions conducted in support of the Navy is generally considered to be sensitive. This chapter will focus primarily on the U. S. Coast Guard mission to provide security and defense along the U.S. maritime borders.

#### Mission

Defend the nation as one of the five U.S. Armed Services. Enhance regional stability in support of the National Security Strategy, utilizing our unique and relevant maritime capabilities.

### In this chapter

This chapter contains the following sections

Section	Mission Areas	See Page
A	Protecting the Homeland	5-3
В	Guiding Principles	5-5

### Model Maritime Operations Guide





## Section A. Protecting the Homeland

### Introduction

Within the homeland security mission, the U.S. Coast Guard maintains a clear vision and a keen sense of vigilance while keeping watch for threats to our security and those who would do us harm.



# A.1. Operation Noble Eagle

As part of Operation Noble Eagle, the Coast Guard is at a heightened state of alert protecting more than 361 ports and 95,000 miles of coastline, America's longest border. As the lead federal agency for maritime security and a component of the Department of Homeland Security, the Coast Guard, in conjunction with military and interagency forces, will protect the U.S. Maritime Domain and the U.S. Marine Transportation System and deny their exploitation by terrorists. The U.S. Coast Guard will continue to play an integral role in maintaining the operations of our ports and waterways by providing a secure environment in which mariners and the American people can safely go about the business of living and working freely.



# A.2. The new "normalcy"

The terrorist threat demonstrated global reach that requires a higher maritime security posture and a new "normalcy" for Coast Guard mission priorities and capabilities. In carrying our Maritime Homeland Security mission under the new "normalcy", the Coast Guard has developed a maritime homeland security strategy that supports the Secretary of the Department of Homeland Security and the President of the United States.

## A.3. Addressing threats

The U.S. Coast Guard's strategic approach places a premium on identifying and intercepting threats well before they reach U.S. shores by conducting layered, multi-agency, maritime security operations and by strengthening the port security posture of strategic economic and military ports. The strategy is consistent with the U.S. Coast Guard's multi-mission responsibilities regarding the array of other dangerous threats in the U.S. Maritime Domain including:

- drug smuggling,
- illegal migration,
- international organized crime,
- resource exploitation,
- infectious diseases, and
- environmental degradation.





## **Section B. Guiding Principles**

### Introduction

The U.S. Coast Guard strategy for Maritime Homeland Security (MHLS) is based on seven guiding principles:

- Implementing a layered defense.
- Establishing a threshold level of operations.
- Strengthening port security.
- Creating maritime domain awareness.
- Improving capabilities.
- Increasing cooperation.
- Preparing for military operations.

# B.1. Implementing a layered defense

The U.S. Coast Guard is implementing a layered defense comprised of a full range of maritime security operations and measures, starting from overseas and extending to U.S. shores, ports, and internal waters. This defense-indepth in key portions of the U.S. Maritime Domain will enable the Coast Guard to address both external and internal threats across the full geographic spectrum of the maritime domain.





### B.2. Establishing a threshold level of operations

The U.S. Coast Guard is establishing and continuing to maintain a new threshold level of maritime security operations and posture for emergency preparedness and response directed against the threat of terrorism. The events of September 11<sup>th</sup> demand a new threshold level of operations specifically directed against terrorism without degrading other critical missions areas such as search and rescue, marine safety, maritime mobility, law enforcement and protection of natural resources.

# B.3. Strengthening port security

The U.S. Coast Guard is strengthening the port security posture and reducing the vulnerability of strategic economic and military ports. In view of the particular vulnerability to attack or terrorist infiltration of major port areas – with their large traffic in passengers, containers, bulk cargo, and foreign vessels – port security is a key aspect of this strategy. To minimize the risk of high-consequence events, as a necessary first step, the Coast Guard conducts criticality, threat, and vulnerability assessments of port infrastructure. On this basis, and in accordance with their economic and national defense roles, the Coast Guard determines the appropriate security posture of individual ports and assigns the commensurate level of security forces, paying particular attention to ensure that personnel, ships, and critical infrastructure are adequately guarded. The local Coast Guard Captain of the Port has the authority and responsibility for the port security mission. This is accomplished through cooperation with various federal, state, and local stakeholders.

### B.4. Creating Maritime Domain Awareness

The U.S. Coast Guard is building and leveraging Maritime Domain Awareness (MDA) to create a comprehensive knowledge base for maritime security operations. To offset the physical impossibility of patrolling the entire U.S. maritime domain simultaneously, or inspecting, certifying, and validating all travelers and cargoes, the Coast Guard is developing a comprehensive, timely and detailed visibility and understanding of events, conditions and trends in the maritime domain. The Coast Guard is doing this by combining an unparalleled level of information sharing and targeted intelligence that allows it to increasingly focus its operational effort to eliminate threats in the U.S. maritime domain. This is Maritime Domain Awareness and it constitutes a significant force multiplier as missions expand against a background of limited resources.



# **B.5.** Improving capabilities

The U.S. Coast Guard is developing required capabilities, improving core competencies, and restructuring the Coast Guard for maritime security operations. To conduct more pervasive surveillance and reconnaissance, to respond to threats and incidents, and to provide maximum support to "first responders," the Coast Guard requires additional and upgraded capabilities including:

- restructure of Deepwater forces;
- increase in maritime security capabilities with the Maritime Safety and Security Teams and Sea Marshaling tactics;
- expansion and better equipage of its National Strike Force; and
- acquisition of additional surveillance systems and other related capabilities for port security.

# **B.6.** Increasing cooperation

The U.S. Coast Guard is organizing and sustaining a public-private sector partnership, while increasing international cooperation. In addition to strengthening the security relationships that exist among federal, state, and local governments, non-government organizations, industry, and the American people, the Coast Guard is attempting to increase international cooperation to create a global defense against maritime terrorism. achieve unity of effort, the Coast Guard is ensuring that the objectives of this strategy support the Secretary of the Department of Homeland Security and other national-level security strategies. This growing domestic and international outreach, in turn, will increase active participation in both intelligence sharing and maritime security operations and will – with international partners – establish multi-lateral and agreed-upon protocols for ensuring port and cargo security, for exercising anti-terrorist procedures, and for facilitating combined operations against the common threat. Working through the International Maritime Organization (IMO) is essential to establishing international maritime security regimes and other measures that complement MHLS requirements. Port security liaison officers will be assigned abroad to assist and monitor the efforts of our international partners.

# B.7. Preparing for military operations

The U.S. Coast Guard is preparing, equipping, and training forces to transition between and conduct homeland security and homeland defense operations. The Coast Guard may serve as the supported commander or supporting commander in the conduct of traditional military operations to defend the homeland. As an armed service, the Coast Guard will execute tasks assigned by U.S. combatant or functional commanders in accordance with orders issued by the Secretary of Defense. Coast Guard forces must have the appropriate inter-operable equipment, ready forces, and doctrine to make this transition.

### Chapter 5 – Homeland Security





## Appendix A. List of Acronyms

**Introduction** This appendix contains a list of the acronyms used throughout the handbook.

In this appendix This appendix contains the following information:

Mission Areas	See Page
List of Acronyms	A-3





ACRONYM	DEFINITION
AAR	After Action Report
ACP	Alternate Compliance Program
AIS	Automatic Identification System
AMIO	Alien/Migrant Interdiction Operation
AMVER	Automated Mutual-Assistance Vessel Rescue
ANS	Aquatic Nuisance Species
ANSI	American National Standards Institute
AOR	Area of Responsibility
API	American Petroleum Institute
BA	Bridge Administration
BSC	Boating Safety Circular
BWM	Ballast Water Management
C2	Command and Control
CASREP	Casualty Report
CFR	Code of Federal Regulations
CFVS	Commercial Fishing Vessel Safety
CGADD	Coast Guard Addendum
CO/OIC	Commanding Officer/Officer in Charge
COFR	Certificate of Financial Responsibility
COI	Certificate of Inspection
COLREG	International Regulations for Preventing Collisions at Sea
COMINT	Communications Intelligence
COR	Certificate of Registry
COTP	Captain of the Port
CVE	Control Verification Examination
CVS	Commercial Vessel Safety
DGPS	Differential Global Positioning System
DHS	Department of Homeland Security
DOT	Department of Transportation
EEZ	Exclusive Economic Zone
ELINT	Electronics Intelligence
EPA	Environmental Protection Agency



ACRONYM	DEFINITION
EPIRB	Emergency Position Indicating Radio Beacon
EPS	Environmental Protection Specialist
FAA	Federal Aviation Agency
FBIS	Foreign Broadcast Information Service
FMP	Fisheries Management Plan
FOSC	Federal On-Scene Coordinator
FSIC	Fiscal, Sanitation, Immigration or Customs
FWPCA	Federal Water Pollution Control Act
GMDSS	Global Maritime Distress and Safety System
GPS	Global Positioning System
HIN	Hull Identification Number
HSC	Harbor Safety Committee
IACS	International Association of Classification Societies
IALA	International Association of Lighthouse Authorities
IAMSAR	International Aeronautical and Maritime Search and Rescue
ICAO	International Civil Aviation Organization
ICLL	International Convention on Load Lines
ICMTS	Interagency Committee of the Marine Transportation System
ICS	Incident Command System
IEC	International Electrotechnical Commission
IIRAIRA	Illegal Immigration Reform and Immigrant Responsibility Act
ILO	International Labor Organization
IMO	International Maritime Organization
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service
IPIECA	International Petroleum Industry Environmental Conservation Association
IRIS	Incident Reporting Information System
ISM	International Ship Management
ISO	International Organization for Standardization
IUU	Illegal, Unreported, and Unregulated
LEU	Law Enforcement Unit
MARPOL	International Convention for the Prevention of Pollution from Ships



ACRONYM	DEFINITION
MASINT	Measurement and Signature Intelligence
MDA	Maritime Domain Awareness
MEPC	Marine Environment Protection Committee
MER	Marine Environmental Response
MHLS	Maritime Homeland Security
MI	Marine Information
MIC	Manufacturer Identification Code
MMD	Merchant Mariner Document
MMPA	Marine Mammal Protection Act
MMS	Minerals Management Services
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MPS	Marine Protected Species
MSC	Marine Safety Center
MSFCMA	Magnuson-Stevens Fisheries Conservation and Management Act
MSO	Marine Safety Office
MTS	Marine Transportation System
MTSNAC	Marine Transportation System National Advisory Council
NCP	National Contingency Plan
NMFS	National Marine Fisheries Service
NOAA	National Oceanic and Atmospheric Administration
NRC	National Response Center
NRT	National Response Team
NSARC	National Search and Rescue Committee
NSF	National Strike Force
NSFCC	National Strike Force Coordination Center
NSP	National Search and Rescue Plan
NSS	National Search and Rescue Supplement
NVDC	National Vessel Documentation Center
NVIC	Navigation and Vessel Inspection Circular
OCMI	Officer in Charge of Marine Inspection
OPA	Oil Pollution Act (1990)



ACRONYM	DEFINITION
OPLAN	Operations Plan
OPORD	Operations Order
OSC	On-Scene Coordinator
OSHA	Occupational Safety and Health Administration
OTC	Officer in Tactical Command
PAWSS	Ports and Waterways Safety System
PDD	Presidential Decision Directive
PES	Port and Environmental Safety
PIAT	Public Information Assistance Team
PQS	Personnel Qualification Standard
PR	Position Report
PREP	Preparedness for Response Exercise Program
PSCO	Port State Control Officer
QRC	Quick Response Card
RBS	Recreational Boating Safety
RCC	Rescue Coordination Center
RFMC	Regional Fisheries Management Council
RFMO	Regional Fisheries Management Organization
RNAV	Radio Aids to Navigation
RP	Responsible Party
RSC	Rescue Sub-Center
SAR	Search and Rescue
SC	SAR Coordinator
SIGINT	Signals Intelligence
SITREP	Situation Report
SMC	SAR Mission Coordinator
SMS	Safety Management System
SNO	Statement of No Objection
SOLAS	Safety of Life at Sea
SOPEP	Shipboard Oil Pollution Emergency Plan
SRA	Short-Range Aids to Navigation
SRR	Search and Rescue Region



	~~~
ACRONYM	DEFINITION
STCW	Standards of Training, Certification and Watchkeeping for Seafarers
SURPIC	Surface Picture
TACON	Tactical Control
TC	Technical Committee
TOI	Target of Interest
UNCLOS	United Nations Convention on the Law of the Sea
USBP	United States Boarder Patrol
USC	United States Code
USFWS	U.S. Fish and Wildlife Service
USPS	U.S. Power Squadron
VRP	Vessel Response Plan
VSC	Vessel Safety Check
VTS	Vessel Traffic Services
WWM	Waterways Management



boarding officer, 2-5, 2-6, 2-13

boarding procedures, 2-8



### **INDEX**

#### boarding team, 1-45, 1-46, 1-47, 2-5, 2-6, 2-8, 2-17 A boat courses, 1-36 AAR, 2-48, 2-52, A-3 BOAT/U.S. foundation courses, 1-36, 1-37 ACP, 1-18, 1-20, 2-52, A-3 boating safety, 1-1, 1-33, 1-34, 1-35, 1-36, 1-39, 1aeronautical facilities, 1-10 40, A-3 aeronautical SAR, 1-8, 1-9, 1-10 boating safety circular, 1-34, 1-35, A-3 after action report, 2-47, 2-48, A-3 bridge administration, 1-49, 4-4, A-3 aids to navigation, 1-35, 1-49, 4-1, 4-7, 4-9, 4-11, 4-BSC, 1-35, A-3 12 buffer zone, 2-39, 2-40 air surveillance, 2-3, 2-10 buffering, 2-40 aircraft, 1-3, 1-4, 1-7, 1-10, 1-11, 1-41, 2-7, 2-10, 2-BWM, 3-19, 3-20, A-3 11, 2-14, 2-15, 2-16, 2-39, 2-40, 2-42, 4-12 aircraft patrols, 2-10, 2-11 $\mathbf{C}$ AIS, 4-8, A-3 alien/migrant interdiction operation, 2-10, 2-36, 2-37, C2, 2-35, A-3 2-55, A-3 captain of the port, 1-16, 3-15, 5-6, A-3 alternate compliance program, 1-18, 1-20, A-3 CASREP, 2-48, A-3 American National Standards Institute, 1-16, A-3 casualty report, 2-47, 2-48, A-3 American Petroleum Institute, A-3 certificate of financial responsibility, 3-12, A-3 certificate of inspection, 1-18, 1-50, A-3 AMIO, 2-10, 2-36, 2-37, 2-55, 2-56, 2-58, A-3 certificates of registry, 1-23, 1-25, 1-26, A-3 AMVER, 1-12, 1-13, 1-14, A-3 ANS, 3-19, A-3 CFR, 1-15, 1-16, 1-17, 1-18, 1-19, 1-20, 1-22, 1-34, ANSI, 1-16, 1-19, A-3 1-37, 2-26, 2-58, 3-12, 3-17, A-3 AOR, 2-44, 2-52, A-3 CFVS, 1-31, 1-32, A-3 API, 3-5, A-3 CGADD, 1-6, 1-8, 1-14, A-3 aquatic nuisance species, 3-1, 3-19, 3-20, A-3 clandestine collection, 2-41, 2-42 aquatic nuisance species control, 3-1, 3-19 CO/OIC, 2-5, A-3 area contingency plan, 3-11, 3-12, 3-16 Coast Guard addendum, 1-6, 1-8, 1-14, A-3 area of responsibility, 2-44, A-3 coast radio station, 1-13 arrival zone, 2-39 code of federal regulations, A-3 automated mutual-assistance vessel rescue, A-3 COFR, 3-12, A-3 automatic identification system, 4-8, A-3 COI, 1-18, 1-50, A-3 auxiliarists, 1-41 collecting intelligence, 2-33, 2-35, 2-41 auxiliary, 1-1, 1-24, 1-35, 1-36, 1-39, 1-40, 1-41, 1-COLREG, 1-43, A-3 42, 1-45 COMINT, 2-43, A-3 command and control, 2-35, 2-48, A-3 auxiliary courses, 1-36 commanding officer/officer in charge. A-3 commercial fishing vessel safety, 1-1, 1-31, 1-32, A-B BA, 1-49, A-3 commercial vessel safety program, 1-1, 1-15 ballast water management, 3-19, 3-20, A-3 communications intelligence, 2-43, A-3 biennial international oil spill conference, 3-5, 3-7 constructive presence, 2-13, 2-16, 2-17, 2-22 boarding, 1-16, 1-31, 1-41, 1-44, 1-45, 1-46, 1-47, 2contiguous zone, 2-20, 2-22, 2-57 5, 2-6, 2-8, 2-13, 2-14, 2-17, 2-18, 2-40, 3-3 control ship/pouncer tactic, 2-37

control verification examination, 1-28, A-3

COR, 1-25, A-3



COTP, 1-16, 3-15, A-3 counterdrug, 2-33, 2-34, 2-35 counterdrug operations, 2-33, 2-34 customs, vii, 2-5, 2-33, 4-4 CVE, 1-28, 1-29, A-3 CVS, 1-49, 1-50, A-3

#### D

department of transportation, 1-6, 1-17, A-3 departure zone, 2-37, 2-39 design plan review, 1-16 detection, 2-10, 2-35, 2-38 detection and monitoring, 2-35 DGPS, 4-13, A-3 differential global positioning system, 4-12, 4-13, Adisposal, 3-9 DMS, 1-17, 1-20, A-3 docket management system, 1-17, 1-20, A-3 domestic fisheries law, 2-26 domestic legal framework, 2-58 DOT, 1-17, 1-20, A-3 drift, 2-28, 2-37 drug interdiction, 2-1, 2-30, 2-33, 2-35, 2-40 dumping, 3-9, 3-10 dumping restrictions, 3-9, 3-10

### $\mathbf{E}$

E.O. 13107, 2-59, 2-60 EEZ, 2-20, 2-21, 2-22, 2-25, 2-26, 3-19, A-3 electronics intelligence, 2-43, A-3 ELINT, 2-43, A-3 emergency position indicating radio beacon, 1-31, A-4 enforcement tactics, 1-50 environmental protection agency, 2-4, 3-5, A-3 environmental protection specialist, 2-4, A-4 environmental response, 3-1, 3-11 EPA, 2-4, 3-16, A-3 EPIRB, A-4 EPS, 2-4, A-4 exclusive economic zone, vii, 2-1, 2-20, 2-26, A-3 executive order 12807, 2-59, 2-62 executive order 13107, 2-59, 2-60, 2-62

### F

FAA, 2-10, A-4 facilities, 1-3, 1-4, 1-5, 1-6, 1-7, 1-9, 1-10, 1-11, 1-12, 1-41, 1-42, 1-44, 1-47, 1-51, 2-4, 2-14, 2-25, 2-27, 3-3, 3-12, 4-3, 4-12

FBIS, 2-42, A-4 federal aviation agency, 2-10, A-4 federal communications commission, 1-6 federal on-scene coordinator, 3-12, 3-14, 3-15, A-4 federal water pollution control act, 2-4, A-4 fire safety, 1-44, 1-46 fire safety equipment, 1-44, 1-46 fiscal, sanitation, immigration or customs, 2-14, A-4 fisheries, 2-1, 2-5, 2-8, 2-21, 2-25, 2-26, 2-27, 2-28, 2-30, A-4 fisheries enforcement, 2-25, 2-26, 2-28, 2-30 fisheries management plan, 2-26, A-4 fishing, vii, 1-1, 1-13, 1-24, 1-31, 1-40, 2-9, 2-14, 2-16, 2-26, 2-27, 3-1, 4-3 flag vessels, 1-18 flight safety guidelines, 2-10 FMP, 2-26, A-4 force majeure, 2-13, 2-14, 2-15, 2-21 foreign affairs reform and restructuring act of 1998, 2-59, 2-60, 2-62 foreign broadcast information service, 2-42, A-4 foreign encroachment, 2-26 foreign territorial waters, 2-20, 2-21, 2-22 foreign vessel, 1-43, 1-44, 2-13, 2-15, 2-19, 2-21, 2-22, 5-6 FOSC, 3-12, 3-14, 3-15, 3-16, A-4 FSIC, 2-14, A-4 FWPCA, 2-4, A-4

### G

garbage, 3-9, 3-10, 3-13 global positioning system, 1-40, 4-13, A-4 GMDSS, 1-25, 1-26, 1-46, A-4 GPS, 4-8, 4-13, A-4

#### H

harbor safety committee, 4-5, A-4 health concerns, 2-61 HIN, 1-35, A-4 homeland security, vii, 5-1, 5-3, 5-4, 5-7 hot pursuit, 2-13, 2-15, 2-16, 2-17, 2-22 HSC, A-4 hull identification number, 1-35, A-4 human rights, 2-58, 2-59, 2-60 humanitarian efforts, 2-55

### I

IACS, 1-16, 1-19, A-4 IALA, 4-7, 4-8, A-4 IAMSAR, 1-6, 1-7, 1-8, 1-13, A-4



ICAO, 1-13, A-4 ICLL, 1-51, A-4 ICMTS, 4-5, A-4 ICS, 2-53, 3-15, 3-18, A-4 IEC, 1-16, 1-19, A-4 IIRAIRA, 2-59, 2-60, 2-62, A-4 illegal activities, 2-10, 2-56 illegal immigration reform and immigrant responsibility act, 2-59, 2-60, 2-62, A-4 illegal immigration reform and immigrant responsibility act of 1996, 2-59, 2-60, 2-62 illegal, unreported, and unregulated, A-4 ILO, 1-28, 1-43, A-4 imagery intelligence, 2-42 immigration, 2-5, 2-55, 2-56, 2-57, 2-58, 2-59, 2-60, 2-62, A-4 immigration act of 1990, 2-59, 2-60, 2-62 immigration and nationality act, 2-58, 2-59, A-4 immigration and naturalization service, 2-55, A-4 IMO, 1-13, 1-48, 3-5, 3-13, 3-17, 5-7, A-4 INA. 2-58, 2-59, A-4 incident command and control, 3-15 incident command system, 3-15, 3-18, A-4 incident reporting information system, 3-14, A-4 innocent passage, 2-13, 2-14, 2-21 INS, 2-55, 2-60, A-4 intelligence, 2-8, 2-34, 2-35, 2-39, 2-40, 2-41, 2-42, 2-43, 2-44, 2-47, 2-48, 2-50, 5-6, 5-7 interagency committee of the marine transportation system, A-4 interagency cooperation, 1-34, 1-35 interdiction, 2-33, 2-37, 2-38, 2-56, 2-57, 2-59 internal waters, 2-20, 2-21, 5-5 international aeronautical and maritime search and rescue, 1-6, 1-7, 1-13, A-4 international aeronautical and maritime search and rescue manual, 1-7 international association of classification societies, 1-16, A-4 international association of lighthouse authorities, 4international civil aviation organization, 1-13, A-4 international convention for the prevention of pollution from ships, 1-15, 1-28, 1-51, 3-10, 3-13, A-4 international convention on load lines, 1-28, 1-43, 1-51. A-4 international conventions, 1-4, 1-18, 1-43, 2-57 international cooperation, 2-34, 5-7

international electrotechnical commission, 1-16, A-4

international fisheries agreements, 2-28

international labor organization, 1-28, A-4

international law, 2-1, 2-7, 2-13, 2-15, 2-22, 2-26, 2-57, 2-58 international legal framework, 2-57 international maritime organization, 1-13, 3-5, 5-7, international organization for standardization, 1-16, A-4 international petroleum industry environmental conservation association, A-4 international regulations for preventing collisions at international ship management, 1-44, A-4 international waters, 2-7, 2-22 IPIECA, 3-5, A-4 IRIS, 3-14, A-4 ISM, 1-44, 1-47, A-4 ISO, 1-16, 1-19, A-4 IUU, 2-26, A-4

### J

jurisdiction, 1-5, 1-33, 1-43, 2-4, 2-7, 2-8, 2-13, 2-14, 2-15, 2-16, 2-17, 2-18, 2-21, 2-22, 2-25 jurisdiction over foreign vessels, 2-21 jurisdictional limitations of force majeure, 2-15 jurisdictional locations, 2-13, 2-20 jurisdictional triangle, 2-18

### $\mathbf{L}$

lakes, 1-24, 3-9, 3-10
law enforcement, 1-39, 1-49, 1-51, 2-1, 2-3, 2-5, 2-6, 2-7, 2-8, 2-9, 2-10, 2-15, 2-17, 2-18, 2-21, 2-25, 2-26, 2-27, 2-34, 2-35, 2-36, 2-39, 2-44, 2-55, 2-56, 2-57, 4-4, 5-6, A-4
law enforcement unit, 2-10, 2-39, A-4
legal authority, 1-5, 2-18, 2-55
legal immigration, 2-55, 2-57
LEU, 2-11, 2-15, 2-38, 2-40, A-4
licenses, 1-23, 1-24, 1-25, 1-51
lifesaving equipment, 1-44, 1-46
living marine resources, 2-28, 2-29, 3-1
logistical security, 2-50
logistics, 2-34, 2-47, 2-50
lookout report, 2-43, 2-44

#### M

Magnuson-Stevens Fisheries Conservation and Management Act, 2-27, A-5 maintenance inspections, 1-16 manufacturer identification code, 1-34, 1-35, A-5 marine debris, 3-1, 3-9



marine environment protection committee, 3-13, 3-17. A-5 marine environmental response, 1-49, A-5 marine information, 4-9, 4-10, A-5 marine investigations program, 1-49, 1-51, 1-52 marine mammal protection act, 2-30, 2-31, A-5 marine protected species, 2-1, 2-29, 2-30, A-5 marine safety, 1-16, 1-18, 1-20, 1-29, 1-49, 1-50, 2-5, 2-8, 3-5, 3-13, 5-6, A-5 marine safety and environmental protection program, marine safety center, 1-16, 1-29, A-5 marine safety office, 1-16, 3-13, A-5 marine transportation system, 4-1, 4-3, 4-4, 5-3, A-5 marine transportation system national advisory council, A-5 mariner licensing program, 1-1, 1-23 maritime activity report, 2-43, 2-44 maritime commerce, vii, 1-21, 2-5, 2-8, 4-1 maritime domain awareness, 2-56, 5-5, 5-6, A-5 maritime facilities, 1-11 maritime homeland security, 5-3, 5-4, 5-5, A-5 maritime interdiction, 2-35, 2-57 maritime SAR, 1-4, 1-5, 1-9, 1-11 MARPOL, 1-15, 1-28, 1-43, 1-47, 1-48, 1-51, 3-9, 3-10, 3-13, A-4 MASINT, 2-43, A-5 MDA, 2-56, 5-6, A-5 measurement and signature intelligence, 2-43, A-5 memorandum of agreement, A-5 memorandum of understanding, A-5 MEPC, 3-13, 3-17, A-5 MER, 1-49, A-5 merchant mariner document, 1-23, 1-25, A-5 merchant mariner documents, 1-23, 1-25 MHLS, 5-5, 5-7, A-5 MI, 4-9, A-5 MIC, 1-35, A-5 migrant interdiction, 2-1, 2-55, 2-59, 2-60 minerals management services, 3-5, A-5 MMD, 1-50, A-5 MMPA, 2-31, A-5 MMS, 3-5, A-5 MOA, A-5 mobility, vii, 2-36, 4-1, 4-4, 4-5, 4-9, 5-6 MOU, A-5 MPS, 2-29, 2-30, A-5 MSC, 1-16, A-5 MSFCMA, 2-27, A-5 MSO, 1-16, A-5 MTS, 4-1, 4-3, 4-4, 4-5, A-5 MTSNAC, 4-5, A-5 multi-unit tactics, 2-37

#### N

national contingency plan, 3-11, 3-12, 3-16, A-5 national counterdrug strategy, 2-34 national marine fisheries service, 2-25, A-5 national oceanic and atmospheric administration, A-5 national recreational boating safety coordinator, 1-34 national response center, 3-14, 3-18, A-5 national response team, 3-12, 3-16, A-5 national search and rescue committee, 1-6, A-5 national search and rescue plan, 1-5, 1-7, 1-13, A-5 national search and rescue supplement, 1-6, 1-8, 1-13, A-5 national strike force, 3-15, 3-18, 5-7, A-5 national strike force coordination center, 3-15, A-5 national vessel documentation center, 1-21, A-5 navigation and vessel inspection circular, 1-18, 1-20, A-5 navigation safety, 4-7, 4-8 NCP, 3-12, A-5 NMFS, 2-25, 2-26, 2-27, 2-28, A-5 NOAA, 2-30, 2-31, 3-5, A-5 NRC, 3-14, 3-18, A-5 NRT, 3-12, A-5 NSARC, 1-6, 1-7, A-5 NSF, 3-15, 3-18, A-5 NSFCC, 3-15, A-5 NSP, 1-5, 1-6, 1-7, 1-13, A-5 NSS, 1-6, 1-8, 1-13, 1-14, A-5 NVDC, 1-21, 1-22, A-5 NVIC, 1-20, A-5

#### 0

occupational safety and health administration, 2-4, A-6 OCMI, 1-16, A-5 officer in tactical command, 2-44, 2-48, A-6 oil pollution act of 1990, 3-6, 3-12, 3-13, 3-17, A-5 oil spill, 3-4, 3-5, 3-7, 3-11, 3-12, 3-16 on-scene coordinator, 1-7, A-6 OPA, 3-6, 3-17, A-5 operational boating environment, 1-34, 1-35 operations order, 2-47, 2-50, A-6 operations plan, 2-33, 2-47, 2-51, 2-52, 2-53, 2-54, A-6 OPLAN, 2-47, 2-49, 2-50, 2-51, 2-52, 2-53, 2-54, A-OPORD, 2-47, 2-50, A-6 OSC, 1-7, 1-11, 3-5, A-6 OSHA, 2-4, A-6 OTC, 2-44, 2-52, 2-53, A-6 overt collection, 2-41



### P

passenger vessel safety program, 1-1, 1-27 patrol patterns, 2-39 patrol tactics, 2-33, 2-36 PAWSS, 4-8, A-6 PDD, 2-59, A-6 personnel conduct, 2-5, 2-10 personnel qualification standard, 2-6, A-6 PES, 1-49, 1-51, A-6 PIAT, 3-15, 3-16, A-6 pollution prevention, 1-16, 1-43, 1-44, 1-47, 2-4, 2-30, 3-1, 3-3, 3-5 port and environmental safety, 1-49, 1-51, A-6 port state control, 1-1, 1-43, 1-44, 1-46, 1-48, A-6 port state control officer, 1-43, 1-44, 1-46, A-6 port state control program, 1-43, 1-48 ports and waterways safety system, 4-8, A-6 position report, 2-48, 2-49, A-6 PQS, 2-6, A-6 PR, 2-49, A-6 pre-boarding, 2-7, 2-8 PREP, 3-13, 3-17, A-6 preparedness for response exercise program, 3-13, 3-17, A-6 presidential decision directive, 2-59, 2-62, A-6 prevention programs, 1-28 PSCO, 1-43, 1-44, 1-46, 1-47, A-6 public information assistance team, 3-16, A-6

### Q

QRC, 1-8, A-6 qualified ratings, 1-25, 1-26 quick response card, 1-8, A-6

#### R

radio aids to navigation, 4-9, 4-12, A-6 radio navigation program, 4-12 radio officers, 1-24, 1-25 RBS, 1-41, 1-49, A-6 RCC, 1-8, 1-9, 1-13, A-6 recreational boating safety, 1-40, 1-41, 1-49, A-6 refugee act of 1980, 2-59, 2-60, 2-62 regional cooperation, 2-56 regional fisheries management council, 2-25, A-6 regional fisheries management organization, 2-25, A-6 registry, 1-21, 2-18, 2-19, 2-20 regulations, 1-15, 1-16, 1-17, 1-18, 1-20, 1-21, 1-25, 1-31, 1-34, 1-35, 1-41, 1-43, 1-49, 1-50, 1-51, 2-3,

2-4, 2-8, 2-10, 2-25, 2-26, 2-29, 2-30, 2-58, 2-59, 2-60, 3-4, 3-7, 3-12, 3-20 rescue coordination center, 1-6, A-6 rescue sub-center, 1-9, A-6 reservists, 5-1 response programs, 1-28 responsible party, 3-15, A-6 RFMC, 2-27, A-6 RFMO, A-6 right of approach, 2-7 right of visit, 2-13, 2-17, 2-18, 2-22 risk/benefit assessment, 2-7, 2-8 RNAV, 4-9, A-6 RP, 3-15, A-6 RSC, 1-9, A-6

### S

safety, vii, 1-1, 1-4, 1-15, 1-16, 1-17, 1-18, 1-25, 1-28, 1-31, 1-33, 1-34, 1-35, 1-36, 1-37, 1-39, 1-40, 1-41, 1-44, 1-46, 1-47, 1-49, 1-50, 1-51, 2-3, 2-8, 2-9, 2-10, 2-44, 2-55, 2-57, 2-60, 3-16, 3-20, 4-4, 4-5, 4-8, 4-11, 5-7, A-4, A-6 safety management system, 1-44, 1-47, A-6 safety of life at sea, 1-4, 1-15, 1-28, 1-51, 2-57, 2-60, SAR, 1-1, 1-3, 1-4, 1-5, 1-6, 1-7, 1-8, 1-9, 1-10, 1-11, 1-12, 1-13, 1-27, 1-28, 1-41, A-6 SAR coordinator, 1-7, A-6 SAR documents, 1-6 SAR mission coordinator, 1-7, A-6 SAR program manager, 1-13 SAR system, 1-5, 1-6, 1-7, 1-12 SC, 1-7, A-6 sea partners, 3-4, 3-7 search and rescue, 1-1, 1-3, 1-4, 1-9, 1-27, 1-39, 1-41, 1-49, 2-55, 4-11, 5-6, A-6 search and rescue region, 1-4, 1-9, A-6 search and rescue sub-region, 1-9 security, vii, 1-17, 1-20, 2-1, 2-13, 2-14, 2-36, 2-47, 2-59, 4-5, 4-9, 5-1, 5-3, 5-4, 5-5, 5-6, 5-7 shipboard oil pollution emergency plan, 3-11, 3-13, 3-16, 3-17, A-6 short-range aids to navigation, 4-9, 4-10, A-6 SIGINT, 2-43, A-6 signals intelligence, 2-43, A-6 sinkings, 2-61 SITREP, 2-48, A-6 situation report, 2-48, A-6 SMC, 1-7, A-6 SMS, 1-44, 1-47, A-6 SNO, 2-8, A-6 SOLAS, 1-4, 1-15, 1-28, 1-43, 1-46, 1-51, A-6



SOPEP, 3-13, 3-16, 3-17, A-6 species, 2-26, 2-27, 2-29, 2-30, 2-31, 3-19, 3-20 speed, 2-10, 2-16, 2-36, 2-37, 2-44, 2-48, 2-49, 4-3 sprint and drift, 2-36, 2-37 SRA, 4-9, 4-10, A-6 SRR, 1-4, 1-9, A-6 standards of training, certification and watchkeeping for seafarers, 1-28, 1-51, A-7 statement of no objection, 2-8 STCW, 1-23, 1-24, 1-25, 1-26, 1-28, 1-43, 1-44, 1-51, A-7 steamboat inspection service, vii, 1-49, 1-51 strike force, 3-15 surface picture, 1-13, A-7 surface tactics, 2-36 surface units, 2-10, 2-38 SURPIC, 1-13, A-7 surveillance, 2-10, 2-36, 2-37, 4-7, 5-7 suspect vessel lookout report, 2-43, 2-44

#### Т

TACON, 2-8, A-7 tactical control, 2-8, A-7 tactics, 1-3, 1-50, 2-8, 2-10, 2-36, 2-39, 5-7 target of interest, 2-37, A-7 targeting matrix, 1-44 TC, 1-19, A-7 technical committee, 1-19, A-7 territorial sea, 2-13, 2-15, 2-16, 2-17, 2-20, 2-21, 2-22, 2-34, 2-57, 2-60 territorial sea baseline, 2-20 TEU, 4-3 threat, 2-11, 2-34, 2-38, 2-39, 2-56, 5-4, 5-6, 5-7 TOI, 2-10, 2-37, A-7 transit zone, 2-33, 2-38 transportation, vii, 1-1, 1-17, 1-20, 2-4, 2-50, 2-56, 3-1, 3-20, 4-3, 4-4, 4-9, 4-12 transportation coordination, 4-4

### U

U.S. code, 1-15

U.S. fish and wildlife service, A-7
U.S. power squadron, 1-35, 1-36, 1-37, A-7
undocumented immigrants, 2-56
United States boarder patrol, A-7
unlawful conduct, 2-5, 2-8
unqualified ratings, 1-25
USBP, 2-55, A-7
USC, 1-22, 1-41, 1-42, 1-49, 1-52, 2-58, 4-9, 4-13, A-7
USFWS, 2-30, 2-32, A-7
USPS, 1-35, 1-36, A-7

### V

vessel boardings, 2-3, 2-5 vessel compliance, 1-31 vessel design standards, 1-15 vessel inspections, 2-8 vessel nationalities, 2-13, 2-19 vessel response plan, 3-11, 3-12, 3-13, 3-16, 3-17, Avessel safety, 1-1, 1-31, 1-33, 1-36, 1-39, 1-40, 1-44, 1-46, 1-49, 2-8, 2-26, A-3, A-7 vessel safety check, 1-39, 1-40, A-7 vessel sighting report, 2-43, 2-44, 2-45 vessel traffic management, 4-4 vessel traffic services, 4-7, 4-8, 4-9, A-7 volunteer force, 1-1, 1-39 VRP, 3-16, A-7 VSC, 1-40, A-7 VTS, 4-7, 4-8, 4-9, A-7

#### W

waste disposal, 1-44, 1-47, 3-9 waterways, 1-1, 1-33, 1-49, 2-5, 2-29, 3-3, 3-4, 3-9, 4-1, 4-3, 4-4, 4-5, 4-7, 4-10, 4-11, 4-13, 5-1, 5-3, A-7 waterways management, 1-49, 4-1, 4-7, A-7 weather, 2-50, 4-11, 4-12 WWM, 1-49, A-7





Produced by Coast Guard International Affairs Commandant (G-CI) 2100 2<sup>nd</sup> St. SW Washington, DC 20593

Phone: 202-267-2280 Fax: 202-267-4588

Web Site: http://www.uscg.mil/hq/g-ci/intl.htm Email: intl@comdt.uscg.mil